

evans-walker, daria

From: Chan, Patrick
Sent: Tuesday, July 01, 2014 11:11 AM
To: evans-walker, daria
Cc: Gambatese, Jason; Banks, Karl
Subject: FW: Guidance on Preparing CY2013 Annual State Public Water System Compliance Reports
Attachments: Letter for CY2013 Report Guidance.pdf; Guidance on Preparing CY2013 Annual State Public Water System Compliance Reports.pdf

Follow Up Flag: Follow up
Due By: Friday, May 01, 2015 8:00 AM
Flag Status: Flagged

Categories: PPG PO

Hello,

Copies of the 2013 guidance. Joyce Chandler/headquarters sent out the guidance to the states this March/April.

Thanks,
Patrick Chan
2-3551

From: Chandler, Joyce
Sent: Tuesday, July 01, 2014 5:38 AM
To: Chan, Patrick
Subject: FW: Guidance on Preparing CY2013 Annual State Public Water System Compliance Reports

Guidance for 2013 state annual PWS report

From: Chandler, Joyce
Sent: Thursday, April 24, 2014 3:07 PM
To: 'ddh@adem.state.al.us'; 'james.weise@alaska.gov'; 'christianera.tuitele@epa.as.gov'; 'ja1@azdeq.gov'; 'jeffery.stone@arkansas.gov'; 'david.mazzera@cdph.ca.gov'; 'ron.falco@state.co.us'; Lori.mathieu@ct.gov; 'collin.burrell@dc.gov'; 'edward.hallock@state.de.us'; 'trevor.noble@dep.state.fl.us'; 'Ted.Jackson@dnr.state.ga.us'; 'ivan.quinata@epa.guam.gov'; joanna.seto@doh.hawaii.gov; lance.nielsen@deq.idaho.gov; 'dave.mcmillan@illinois.gov'; 'pcarroll@idem.in.gov'; 'dennis.alt@dnr.iowa.gov'; 'dplummer@kdheks.gov'; 'julie.roney@ky.gov'; 'jake.causey@la.gov'; Yvette.Depeiza@state.ma.us; 'skasraei@mde.state.md.us'; roger.crouse@maine.gov; 'monosmithc@michigan.gov'; 'randy.ellingboe@state.mn.us'; 'william.moody@msdh.state.ms.us'; 'steve.sturgess@dnr.mo.gov'; 'jdilliard@mt.gov'; 'ybarney@navajopublicwater.org'; 'jack.daniel@nebraska.gov'; jcarr@ndep.nv.gov; 'sarah.pillsbury@des.nh.gov'; 'karen.fell@dep.state.nj.us'; 'tom.blaine@state.nm.us'; 'rcs06@health.state.ny.us'; 'deq.director@deq.gov.mp'; 'jessica.godreau@ncdenr.gov'; 'gwavra@nd.gov'; 'mike.baker@epa.state.oh.us'; Shellie.Chard-McClary@deq.ok.gov; david.e.leland@state.or.us; 'ldaniels@pa.gov'; 'javiertorres@salud.gov.pr'; June.swallow@health.ri.gov; wilsonde@dhec.sc.gov; 'mark.mayer@state.sd.us'; 'anna.rollins@tn.gov'; 'bob.patton@tceq.texas.gov'; 'kbousfield@utah.gov'; 'christine.thompson@state.vt.us'; 'john.aulbach@vdh.virginia.gov'; 'nadine.noorhasan@dpnr.vi.gov'; 'clark.halvorson@doh.wa.gov'; 'Walter.M.Ivey@wv.gov'; 'jill.jonas@wisconsin.gov'; 'kevin.frederick@wyo.gov'
Cc: 'jtaft@asdwas.org'; 'aderosa@asdwa.org'; Messina, Edward
Subject: Guidance on Preparing CY2013 Annual State Public Water System Compliance Reports

Dear State Drinking Water Administrators:

Please see the attached cover letter from Edward J. Messina, Director, Monitoring, Assistance and Media Programs Division dated April 24, 2014 and the *Guidance on Preparing Calendar Year 2013 Annual State Public Water Systems Compliance Report*.

If you have any questions, please feel free to contact Joyce Chandler at: chandler.joyce@epa.gov, or by phone: 202-564-7073.

Joyce Chandler
Monitoring, Assistance and Media Programs Division
Office of Compliance
Office of Enforcement and Compliance Assurance
202-564-7073



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

APR 24 2014

OFFICE OF
ENFORCEMENT AND
COMPLIANCE ASSURANCE

Dear State or Tribal Drinking Water Administrator:

This letter serves as a reminder to you that the 18th Annual Public Water Systems (PWS) Compliance Reports (presenting data on calendar year 2013 violations) are due to the U.S. Environmental Protection Agency (EPA) on July 1, 2014. This report is required by Section 1414(c)(3) of the Safe Drinking Water Act of 1996¹. To assist you in preparing the reports, I am enclosing the *Guidance for Preparing Calendar Year 2013 State Annual Public Water Systems Compliance Reports* (Guidance). To prepare your report, you should use calendar year 2013 SDWIS-FED data. Detailed information on obtaining the data can be found in Enclosures A and B of the Guidance.

I encourage you to work closely with your EPA regional SDWIS data manager as you prepare your reports. This coordination will help EPA identify and resolve any potential discrepancies between the data you present in your annual compliance report and EPA's SDWIS-FED data.

Reports should be submitted via email to Joyce Chandler at chandler.joyce@epa.gov. Alternatively, hard copy reports can be sent to the following address:

U.S. Environmental Protection Agency
Mail Code 2227A
1200 Pennsylvania Avenue NW
Washington, DC 20460
Attn: Joyce Chandler

If you have any questions or comments, please contact Joyce Chandler of my staff at (202)564-7073 or via email. Thank you for all your efforts in preparing and making public the 2013 Annual PWS Compliance Reports.

Sincerely,

Edward J. Messina, Director
Monitoring, Assistance, and Media Programs Division
Office of Compliance

Enclosures

cc: James Taft, Executive Director, ASDWA

¹ The U.S. Office of Management and Budget (OMB) has approved the collection of this information with the EPA Information Collection Request (ICR) No. 1812.04; OMB Control No. 2020-0020 as stipulated by the Paperwork Reduction Act (44 U.S.C. 3501 et. seq.).

Guidance on Preparing Calendar Year 2013 Annual State Public Water System Compliance Reports

Objectives of this Guidance

This *Guidance on Preparing Annual State Public Water System Compliance Reports* (*Guidance*) serves two purposes. First, the *Guidance* explains provisions of the Safe Drinking Water Act (SDWA) that require states to prepare annual reports on specific violations found at public water systems (PWS) in their jurisdictions. Second, the *Guidance* provides a recommended format to minimize the burden associated with preparing annual reports. The recommended format also promotes uniform reporting to Environmental Protection Agency (EPA) to ensure that the EPA accurately summarizes data from each state's report in EPA's annual national public water systems compliance report.

What Does a State Have to Do?

Under Sections 1414 (c)(3)(A)(i-ii), the SDWA requires each state to submit to the EPA Administrator an annual report of violations. The SDWA also requires that the annual report be made available to the general public.

States are required to:

- prepare an annual report;
- make the annual report available to the general public (website address; telephone number; mailing address; contact person)
- publish and distribute summaries of the annual report
- submit the annual report to EPA.

Does My State Have to Prepare an Annual Public Water Systems Compliance Report?

SDWA Section 1414 mandates a report from each state, tribe or territory that has primary enforcement authority for drinking water. EPA has determined that most states, the U.S. Territories (Puerto Rico, the United States Virgin Islands, American Samoa, Guam, the Northern Mariana Islands), and the Navajo Nation meet the criteria for exercising primary enforcement authority and must prepare an annual PWS Compliance Report. EPA retains primary enforcement authority for Wyoming, the District of Columbia, and all other Indian lands, and will prepare the reports for those entities.

Has EPA Considered the Burden on States in Preparing the Annual Reports?

EPA has considered the burden on the states and strives to become more responsible and publicly accountable to reducing the burden of federal paperwork on the public as stated in the Paperwork Reduction Act (PRA) of 1995 (44 U.S.C. 3501). EPA estimates the burden associated with collecting the information for the annual report and submits this to the U.S. Office of Management and Budget (OMB) as required by the PRA. To obtain information on the most recent burden associated with the report refer to EPA Information Collection Request (ICR) No. 1812.04; OMB Control No. 2020-002 at www.regulations.gov.

What Information Goes into an Annual Report?

1. Information about Violations

A. Violations of Primary Drinking Water Standards

The SDWA requires states to report events or lack of activity that constituted a violation of a primary drinking water standard at some point during the year covered by the report. This includes but is not limited to those categories of violations specifically enumerated in Section 1414(c)(3)(A)(i). Accordingly, states must report all:

- Maximum contaminant level (MCL) violations
- Maximum residual disinfectant level (MRDL) violations
- Treatment technique requirement (TT) violations
- Significant monitoring and reporting (M/R) requirements violations
- Variances and exemption violations
- Record keeping violations
- Significant public notification requirement violations
- Significant consumer confidence report (CCR) notification requirement violations

Attachment A of this Guidance provides the Safe Drinking Water Information System/Federal Version (SDWIS/FED) violation codes for the violations listed above that states must report in their annual PWS compliance reports. With rare exceptions, Asignificant@ monitoring and reporting (M/R) violations that must be included in the state's annual report occur when no samples are taken or no results are reported during a compliance period. A significant CCR notification violation occurs when a public water system completely fails to provide the required notification to its users as required. (See **How Does a State Prepare its Annual Compliance Report**, page 5).

While there are few variances and exemptions currently in effect, states should closely monitor a public water system's compliance with the conditions of its variance or exemption. Any violations must be reported.

For maximum clarity, violations information should be presented in a table format. The table should display, for each contaminant regulated by a national primary drinking water regulation, the number of maximum contaminant level, maximum residual disinfectant levels, or treatment technique (MCL/MRD/TT) violations and the number of significant M/R violations that occurred during the reporting period. Monitoring and reporting violations related to unregulated contaminants need not be reported. The table should also indicate the number of significant CCR notification violations. Because CCR notification and the public notification violations are public water system-based rather than contaminant-based, the state's report can simply indicate the total number of significant violations of the notification rule.

B. Reporting Period is a Calendar Year

In 1997, EPA and drinking water stakeholders agreed that both state and national annual reports would discuss drinking water violations on a calendar year basis (January 1 – December 31). This means the state's annual public water systems compliance report should provide information about all relevant violations during the year covered by the report. This will include:

- Violations that began before January 1 of the year and continued into the year covered by the report
- Violations that ended during the year covered by the report
- Violations at PWS that operated for only part of the year covered by the report, or permanently ceased operations during the year.

If a system returned to compliance before the year covered by the report and remained

in compliance throughout the year covered by the report, its violations are not counted.

If a system permanently ceased operations before the end of the year covered by the report, its prior uncorrected violations are not counted, i.e., if a system permanently ceased operations in 2013, its prior uncorrected violations are not counted.

2. Additional Information

A state's report should contain more than just violations data. Ideally, a state report will explain its purpose, present the statutorily required violations information with a level of explanation adequate to answer questions from the general public, describe the significance of the reported violations, and indicate actions the state will take to protect the public from future violations. States should include the following elements in their reports:

- An introduction explaining the purpose of the report, its statutory origin, and the period of time covered by the report
- A table summarizing the MCL/MRDL/TT and M/R violations in the compliance report categories *i.e.*, chemical contaminant group for volatile organic compounds (VOCs), synthetic organic chemicals (SOCs), inorganic chemicals (IOCs), nitrate, and radionuclides; Lead and Copper Rule (LCR); Total Coliform Rule (TCR); Surface Water Treatment Rule (SWTR), Interim Enhanced Surface Water Treatment Rule (IESWTR), Filter Backwash Recycling Rule (FBRR), Long Term 1 Enhanced Surface Water Treatment Rule (LT1); Disinfectant and Disinfection By-Product Rule (DBPR); and Groundwater Rule (GWR). (See **How Does a State Prepare its Annual Compliance Report**, page 5). The table should indicate how many PWS are responsible for the reported MCL/MRDL/TT and M/R violations in each of the SDWIS/FED Annual Compliance Report (ACR) report categories, provide the total number of PWS with reported MCL/MRDL/TT violations (aggregating all SDWIS/FED ACR report categories), and provide the total number of PWS with reported M/R violations (aggregating all SDWIS/FED ACR report categories). The table should indicate the number of significant CCR notification violations and the public notification violations and the number of PWS with the violations. The table should also provide a grand total of PWS with violations of any type and of any rule category. The table should also include any explanatory text necessary to make the table comprehensible to the general public

Providing separate totals reveals the comparative incidence of different kinds of violations. Providing a grand total of PWS with a violation (counting a system with multiple violations as **one** violating system) allows the reader to determine if

the occurrence of violations was distributed across large segments of the state's PWS or if it was confined to a smaller number of PWS, each responsible for many violations

- A discussion identifying violations of any state drinking water standards more stringent than federal requirements
- A discussion of the number of violations of variances and exemptions during the reporting period, if any, the number of variances and exemptions in effect during the reporting period, and explanatory text necessary to make this information comprehensible to the general public
- A conclusion describing the significance of the numbers of violations reported
- An attached list identifying, at a minimum, the PWS with MCL violations, MRDL violations and/or TT violations. This list, which can consist of a printout of the state's data file, should be available to the general public as part of the full report, and may be omitted from the published summary of the report distributed by the state

How Does a State Prepare its Annual Compliance Report?

1. Sources of Violations Data

A. SDWIS/FED Reports

Every state supplies information on its PWS and their violations to EPA. This information is then uploaded into SDWIS/FED Data Warehouse (SFDW) (EPA's drinking water database of record). The information is checked and posted or later retrieved from SFDW. The data can be retrieved through ad hoc reports or the Annual Compliance Report from the SDWIS Fed Reporting Services (SFRS).

- i. SFRS Ad hoc Reports – Using SFRS to create ad hoc reports allows greater flexibility to retrieve the desired violation data and to generate it in the desired format for the annual report. For example, using the ad hoc report, one can specify which quarter and year the data is retrieved from the SFDW.
- ii. SFRS Annual Compliance Report - The Annual Compliance report, extracts the violations for all the rules from SFDW. Attachment B of this

Guidance explains how a state can use SDWIS/FED to generate the AC standard report and any associated queries for retrieving needed information for their annual PWS compliance reports.

Because violations of variance and exemptions are rare, the Annual Compliance Report may not be designed to retrieve information on this type of violation. States may elect to discuss the numbers (or lack) of variance and exemptions violations of in the narrative portion of their reports.

B. State Databases

The Annual Compliance Report provides states with a simple means of retrieving violations information for their annual PWS compliance reports. A state that reports violations information from its stand-alone database or from other non-SFDW sources should ensure that these other data sources and SFDW contain identical information. Reporting data different from what the state has already submitted in its own quarterly reports to SFDW could confuse the general public, resulting in requests for explanations.

States that elect not to use the SFDW Annual Compliance Report should consult the rule-specific violation criteria in Attachment A when determining violation counts. This will ensure consistency with data already reported to SFDW.

2. Tables and Lists

A. SFDW Annual Compliance Report

The Annual Compliance Report can generate a state-specific violations table suitable for inclusion in a state's annual PWS compliance report. Attachment B of this Guidance explains how states can use SFDW to generate the SFDW Annual Compliance Report and any associated queries for retrieving needed information for their annual PWS compliance reports.

B. The Details by PWS ID from the Report Specific tab

EPA also makes available with the Annual Compliance Report, a detailed listing of violations and enforcement actions along with basic information on the PWS, such as location, size and population served. Attachment B of this Guidance explains how states can use the Annual Compliance Report to generate the Details by PWS ID portion.

C. State Databases

If a state relies on data from its own sources to compile its annual report, the state's report should include a table that presents violations data in a format similar to the table generated by the SFRS Annual Compliance Report for that year. Consistency among states will ensure that EPA accurately summarizes each state's data in the annual national report.

States should also recognize that the general public may want to know which PWS is responsible for the reported violations. It may be more efficient for a state to include a list of PWS and their violations as part of its publicly available annual report than for the state to later generate such lists in response to requests for explanations.

3. Narrative Portions

State reports are more effective when they provide more information. Attachments C and D of this Guidance present recommendations for including this type of information. States are encouraged to use text from these attachments, where appropriate in their reports, to give the general public a more comprehensive account of the state's PWS Supervision program and the significance of reported violations.

When Does a State Begin Preparing its Annual Report?

A. States Using SFDW Violations Data

EPA recommends that a state use the Annual Compliance Report and the details portion of the report to generate data for its annual PWS compliance report. The state can then compare its data with the SDWIS/FED April database. This allows the state to draw from the same violations maintained in SDWIS/FED. EPA will use the aggregate violations data for the annual national report, while affording the state the maximum amount of time to analyze this data and prepare its report.

B. States Using Other Data Sources

If a state relies on a non-SFDW database to generate violations data for its annual PWS compliance report, EPA recommends that the state use a database frozen immediately after the last of the state's data submissions to SFDW prior to EPA's April 1 freeze date. This will ensure that the state's database and SFDW

contain the same violations data, and simplify the identification of any subsequent updates or corrections to the state's database. While the desirability of using a frozen database suggests that state's should not generate data for their reports until after the database is frozen, a state that chooses not to use violations data from SFDW database may begin preparing its annual PWS compliance report as soon as it believes it has reliable data.

When Does a State Make its Annual Report Available to the General Public?

When EPA and drinking water stakeholders agreed that the annual reports would discuss violations during a calendar year, they also agreed that the state reports would be made available to the general public by July 1 of the following year. This allows states time (after the close of a calendar year) to update the SFDW database EPA will freeze in April. It will also give the states time to use the frozen SFDW database to prepare their reports.

How Does a State Publish and Distribute Summaries of its Full Report and Make its Annual Report Available to the General Public?

In SDWA Section 1414(c)(3)(A)(ii), Congress requires states to publish and distribute summaries of the full report and identify where the full report is available for review. Suggested methods for meeting these requirements include:

- Displaying the summary and an official notice of the availability of the full report in area newspapers
- Conducting press conferences when the report becomes available, incorporating notices about the report into standard press conferences, or issuing press releases with the summary
- Preparing notices for distribution in public libraries and other public buildings
- Distributing copies of the summary to public information offices, libraries, state/local departments of health; making the full report available at the same locations
- Posting information on the availability of the summary and the full report on local, state, and EPA web sites

- Using other methods that the state's experience has shown to be effective

EPA anticipates that many states, to avoid duplication of effort, will use portions of the full report as the summary for their reports. Each state's annual report should indicate how the state satisfied the SDWA requirement to publish and distribute a summary of the full report and how the full report has been made available to the general public.

When Does a State Submit its Annual Report To EPA?

States should submit copies of their annual reports to EPA on July 1 of the year following the calendar year that is the subject of the report. For example the 2013 report is due by July 1, 2014.

How Does a State Submit its Annual Report To EPA?

Reports should be submitted via email to chandler.joyce@epa.gov. Alternatively, hard copy reports can be sent to the following address:

Annual PWS Compliance Report
U.S. Environmental Protection Agency
1200 Pennsylvania Avenue, N.W. - Mail Code 2227A
Washington, DC 20460
Attn: Joyce Chandler

Questions can be directed to Joyce Chandler at 202-564-7073.

Attachment A

RULE-SPECIFIC VIOLATION CRITERIA FOR THE ANNUAL PUBLIC WATER SYSTEMS COMPLIANCE REPORT

Details by Rule – Violation and Contaminant Codes

Chemical Contaminant Group

Maximum Contaminant Level (MCL – 01, 02); Monitoring & Reporting (M/R - 03,04)

Volatile Organic Contaminants (VOCs)

2378/ 80,

2955/ 64/ 68/ 69/ 76/ 77/ 79/ 80/ 81/ 82/ 83/ 84/ 85/ 87/ 89/ 90/ 91/ 92/ 96

Synthetic Organic Contaminants (SOCs)

2005/ 10/ 15/ 20/ 31/ 32/ 33/ 34/ 35/ 36/ 37/ 39/ 40/ 41/ 42/ 43*/ 44*/ 46/ 47*/ 50/ 51/ 63/
65/ 67,

2105/ 10,

2274/ 98,

2306/ 26/ 83/ 88/ 90/ 92/ 94/ 96/ 98,

2400,

2931/ 46/ 59

Inorganic Contaminants (IOCs)

1038, 1040, 1041,

1005/ 10/ 15/ 20/ 24/ 25/ 35/ 36*/ 45/ 74/ 75/ 85/ 94

Treatment Technique (TT)

07/2265, 2257

OTHER

05/All VOCs, SOCs and IOCs

08

Radionuclides

(MCL – 01, 02); (M/R - 03, 04)

4000/ 06/ 10, 4100/ 01/02/ 74

OTHER

08

Surface Water Rules (SWTR/IESWTR/LT1SWTR/LT2SWTR/FBRR)

M/R

31/0200, 31/0800, 36/0200, 36/0800 and major indicator flag = 'y'

29/0300 and major indicator flag = 'y'

38/0300 and major indicator flag = 'y'

32/0800 LT2

32/0100 Turbidity

32/3014

32/3015

Treatment Technique (TT)

37/0800

40/0500
41/0200
42/0200
37/0300
43/0300
44/0300
47/0300

33/0800 LT2
41/0800 LT2
42/0800 LT2
45/0800 LT2
47/0800 LT2

Other

09/0300
09/0500
09/0800
20/0800

Total Coliform Rule (TCR)

M/R

23/3100
25/3100

MCL

21/3100
22/3100

OTHER

05/3100
28

Disinfection Byproducts Rule (Stage 1 & 2 DBP)

MCL and MRDLs

02/1009
02/2950
02/2456
02/1011
11/1008
11/1006
11/0999
13/1008

Treatment Technique (TT)

12/0400
46/2920

M/R (only majors - major indicator flag = 'y')

27/2920
27/1009

27/1011
27/2456
27/2950
27/1006
27/1008
27/0999
30/0600 DBPR2
30/2456 HAA5
30/2950 TTHM
35/0600 DBPR
35/2456
35/2950

Other

09/0600

Lead and Copper Rule (LCR)

Treatment Technique (TT)

57/5000
58/5000
59/5000
63/1022
63/1030
64/5000
65/5000

M/Rs

51/5000
52/5000
53/5000
56/5000
66/5000

Other

05/5000
09/5000

Groundwater Rule (GWR)

Treatment Technique (TT)

41/0700-GWR
42/0700-GWR
45/0700-GWR
48/0700-GWR

M/R

19/3002, 3014, 3028
31/0700-GWR
34/3002, 3014, 3028

Other

05/0700-GWR

09/0700-GWR
20/0700-GWR
28/0700-GWR
73/0700-GWR

Consumer Confidence Report (CCR)
71/7000

Public Notice (PN)
75/7500

Note: Contaminant codes with an * represent contaminants that are required for monitoring/reporting violations only.

of violations

This represents a count of the number of violations for the specific contaminant/rule occurring during the calendar year of the report that have NOT returned to compliance (RTC'd). The links of the violations to enforcements needs to be made in order to determine this. Links to the following enforcement action codes need to be made for each violation that qualifies for the report calendar year – SOX, EOX, ETX, ESX. Links to ESX and ETX need to be made using the following table – dbo_ViolAssoc.

The violations that qualify will meet the following date selection criteria:

Begin date <= last date of the calendar year 12/31/xx.

End date >= begin date of the calendar year 1/1/xx.

This report will run against the 1st quarter April freeze, e.g., (FY2014Q1).

of RTC'd violations

This represents the number of violations from the step above that have RTC'd during the calendar year, i.e., the violation has one of the following enforcement codes SOX, EOX, ETX, ESX, with dates that are during the calendar year of the report (between 1/1/xx and 12/31/xx).

SDWIS/Reporting Services Report-Prime Specific Tab for Annual Compliance Report Options.

- **Annual Compliance Summary Report**
- **Detail by Chemical**
- **Display Detail by Rule**
- **Display Detail by PWS ID**

Attachment B

Instructions for Accessing Standard Reports from SDWIS/FED

The EPA has created a SDWIS Fed Reporting Services that states can run and the output can be include in a state's Annual Compliance Report (ACR). The SDWIS Fed Reporting Services can also be used as a tool for data reconciliation for between SDWIS/FED and state databases for the Chemical Contaminant Group, Total Coliform Rule (TCR), Surface Water Treatment Rule (SWTR), Interim Enhanced Surface Water Treatment Rule (IESWTR), Long Term 1 Surface Water Treatment Rules (LT1SWTR), Long Term 2 Surface Water Treatment Rule (LT2SWTR), Lead & Copper Rule, Stage 1 & Stage 2 MDBP, Public Notification Rule, Consumer Confidence Report, and Groundwater Rule.

The SDWIS Fed Reporting Services contains four reports. The first, and the default, is the Annual Compliance Summary Report. The other three which needs to be selected by the user, provides a detail report by Chem, Rule and PWS. These reports are described below.

AC Standard Report (Summary Annual Compliance Report)

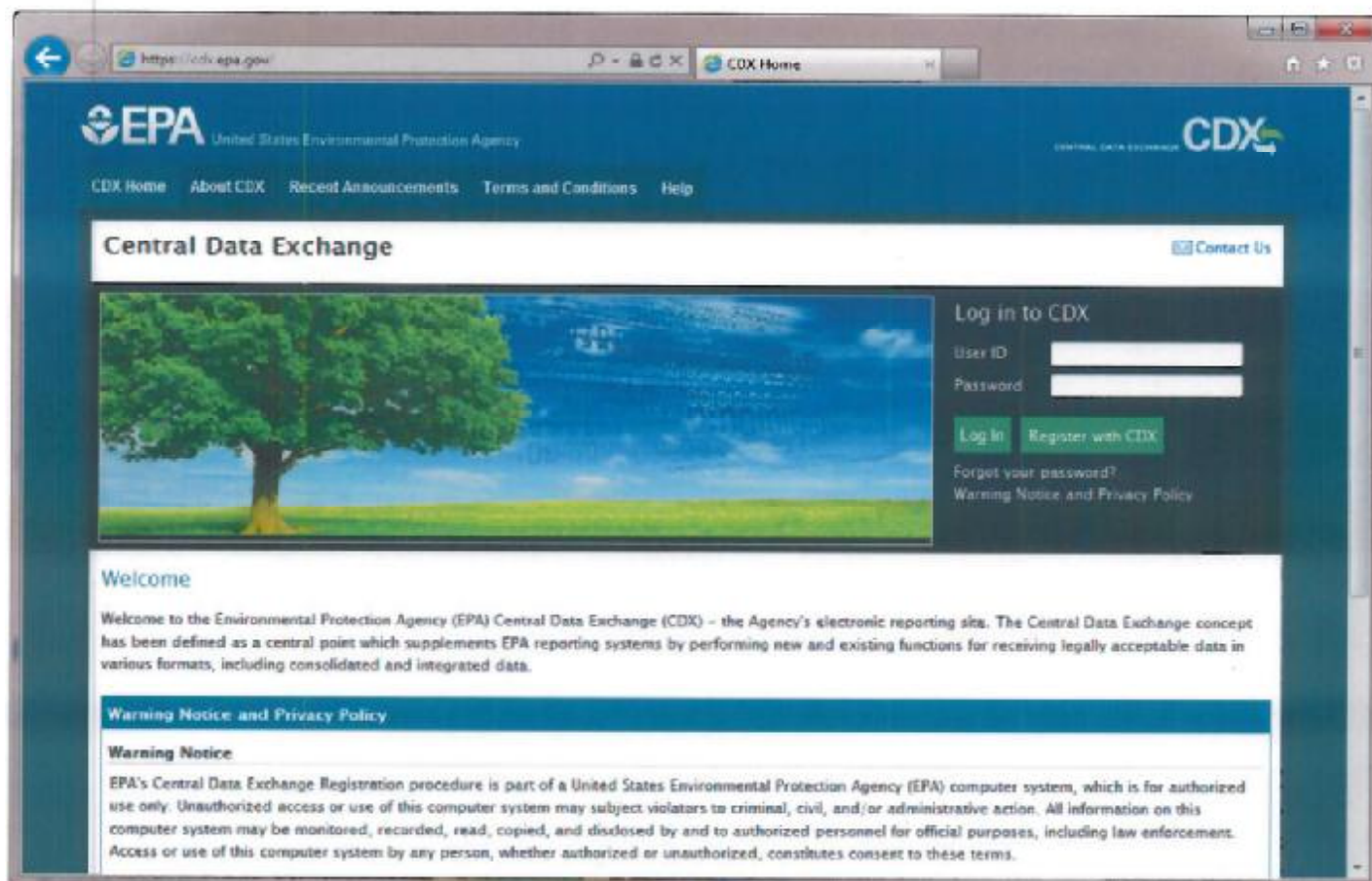
The Annual Compliance Report is designed to provide summary counts of violations and water systems during the calendar year of the ACR. This report will provide for each contaminant regulated by a national primary drinking water regulation, the numbers of maximum contaminant level (MCL) and treatment technique (TT) violations, the number of significant monitoring/reporting (M/R) violations, and the number of significant consumer notification and public notice violations for the calendar year 2013. This report will also indicates the number of systems responsible for the reported violations of these types in each of the significant violations categories (*i.e.*, chemical contaminant group for VOCs, SOCs, IOCs, nitrate and radionuclides; lead and copper rule, surface water treatment rule, total coliform rule, and such other categories as may be appropriate in future reports. This report also provides a total number for all systems with reported violations of the significant violation categories (aggregating all violation categories) and a grand total of all systems with violations of any type and for any rule category.

Listed below are the steps to generate the AC standard report. An example of this report is provided at the end of the attachment.

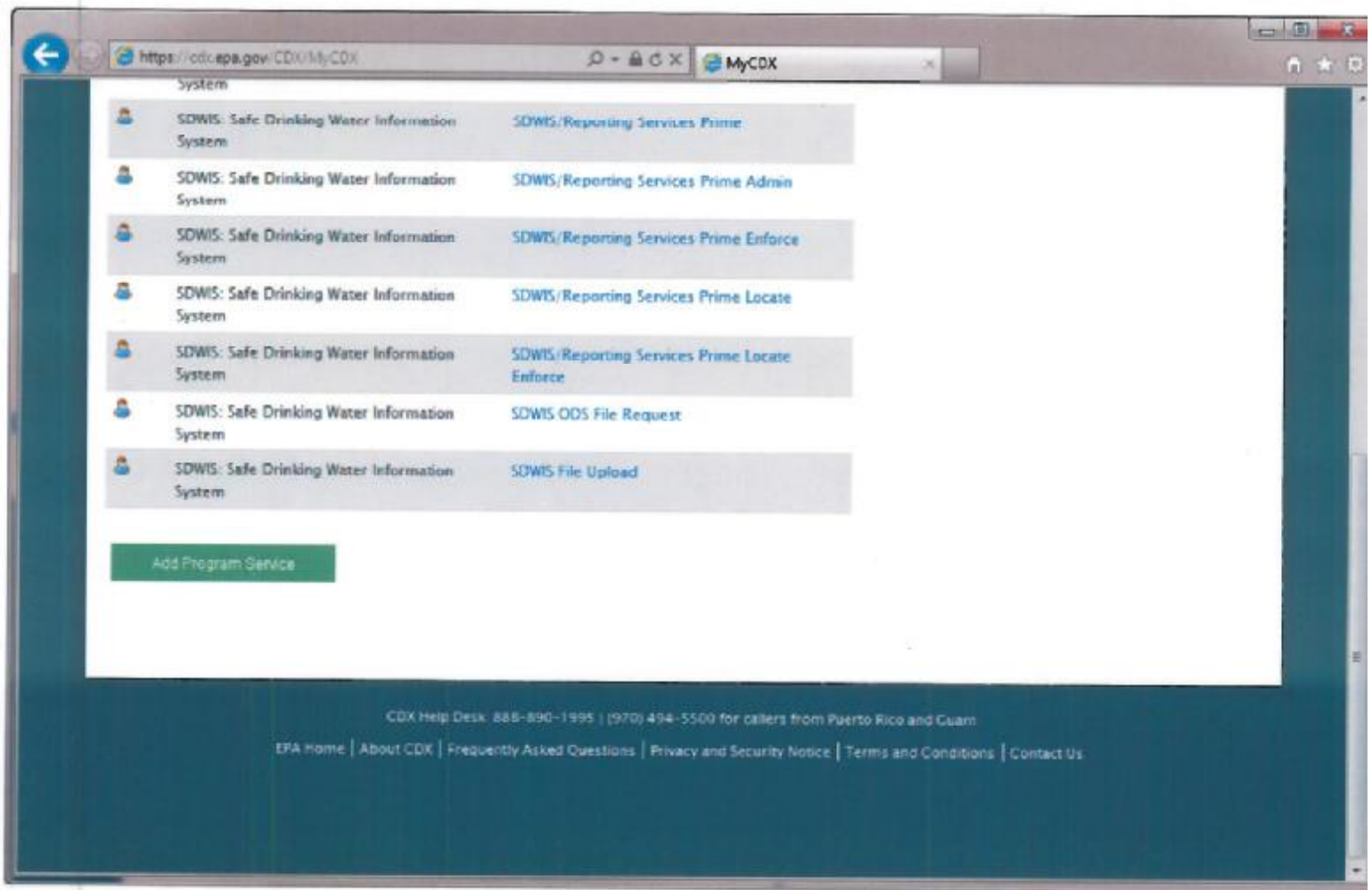
Details by PWS ID from the Report Specific tab

This portion of the standard report provides the detailed listing of violations and enforcement actions, if any, as well as inventory information for the required list of public water systems (PWSs) during the period of the ACR.

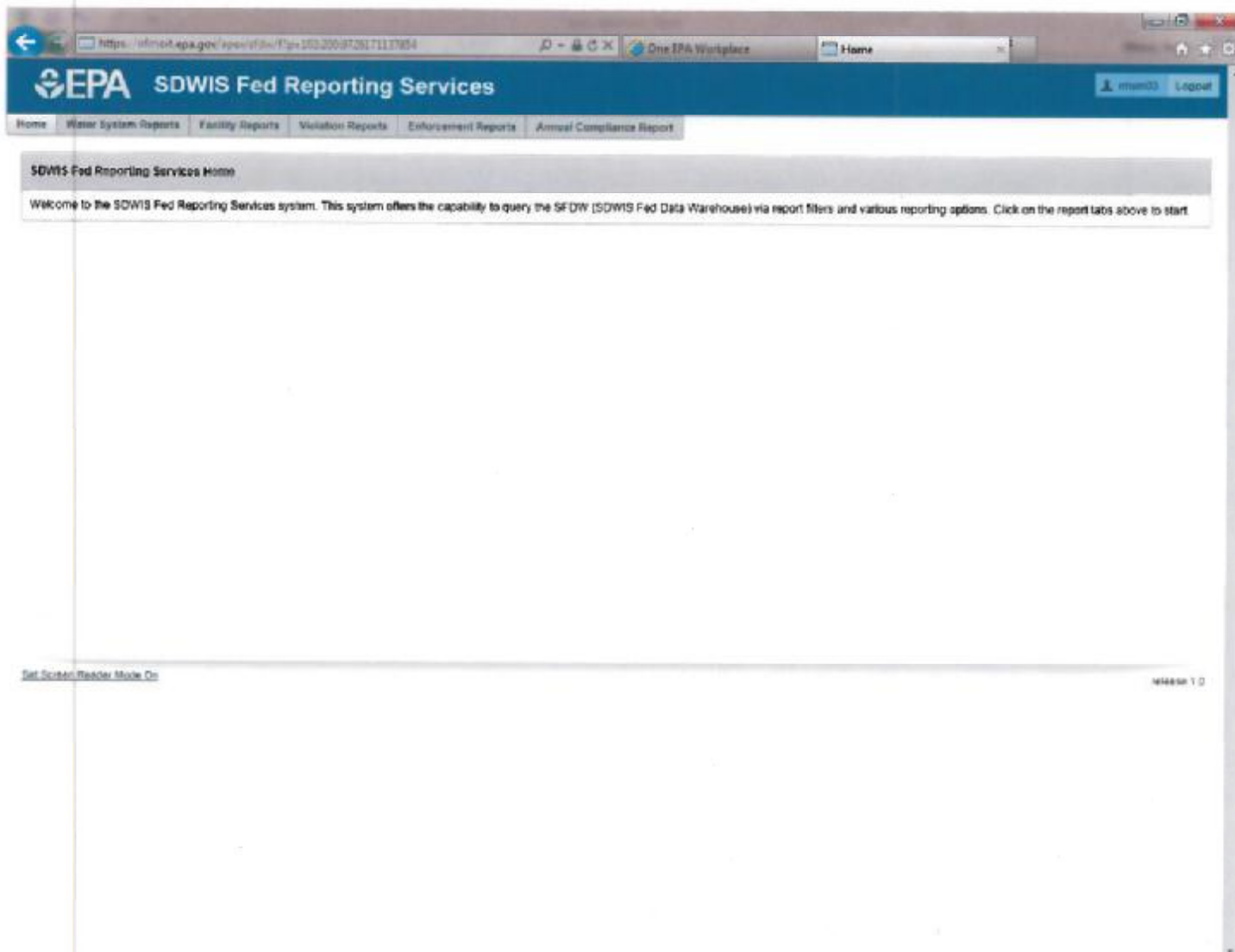
To run a SDWIS/FED standard report, users must be authorized to use the Central Data Exchange SDWIS Reporting Services to access the standard reports. If you do not have such authorization, contact your regional SDWIS/FED coordinator for assistance in obtaining access.



- Connect and log into EPA's Central Data Exchange website at <https://cdx.epa.gov>



- Select SDWIS:SDWIS/Reporting Services Prime in the second column



- Click on the Annual Compliance Report Tab at top of the page.

https://efmr.epa.gov/epic/stdu/f?p=100:12:6726171137854::NO:22:: One EPA Workplace Annual Compliance Filters

EPA SDWIS Fed Reporting Services monID Logout

Home Water System Reports Facility Reports Violation Reports Enforcement Reports Annual Compliance Report

Annual Compliance Report Filters Reset All View Reports >

Water System Reset

Submission Year: Quarter: NPM Candidate:

EPA Region: Primary Agency: Owner Type:

PWS ID: PWS Name:

Annual Compliance Report Date From: To:

Show All Water System Characteristics Violation Filters

Water System Characteristics Reset

PWS Type: SW or BW:

Primary Source: Activity Status:

Violation Filters Reset

Rule:

Violation:

Contaminant:

Rule Family: Rule Group:

Violation Category: Is Health Based:

Enforcement Action Type:

- Select a state from the Primacy Agencies listing, scrolling to and clicking the appropriate primacy agency.
- The current Annual Compliance Report Date is defaulted.
- Click on “View Reports” on the top right side of the screen to run the report.

https://efmrnt.epa.gov/efmrnt/efmrnt100239726171137854nfyQBP23,25,26,27/ One EPA Workplace Annual Compliance Report

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports Enforcement Reports Annual Compliance Report

Reports [Annual Compliance Report Filters](#)

Select Report: **Annual Compliance Summary Report**

Submission Year is **2014** and Quarter is **1** and EPA Region is **National** and Primary Agency in (ID) and Annual Compliance Report Date >= **01/01/2013** and Annual Compliance Report Date <= **12/31/2013**

Go Rows: 50 Actions

1 - 20 of 20

Break :

EPA Region	10	Primacy Agency Code	ID	Violation Category	Maximum Contaminant Level Violation
Rule Group	Rule Name	# of Viols	# of RTC Viols	# of PWS in Viols	
Microbials	TCR	215	41	160	
DDPs	SR DDP	5	3	2	
Chem	Nitrates	18	9	10	
Chem	Ammonia	59	57	2	
Chem	Other IOC	1	0	1	
Chem	Basis	7	0	2	
Not Regulated	Not Regulated	30	30	10	
		335	140	184	

Break :

EPA Region	10	Primacy Agency Code	ID	Violation Category	Monitoring and Reporting
Rule Group	Rule Name	# of Viols	# of RTC Viols	# of PWS in Viols	
Microbials	TCR	715	330	322	
Microbials	SWTR	6	0	2	
Microbials	LT1 ESWTR	3	0	2	

- When the report is completed, the first report displayed is the Annual Compliance Summary Report.
- The filter selection is below the Select Report line and describes all filters used for the report. This will change if any other filters are chosen when reviewing the reports.

https://sdmnet.epa.gov/sdmnet/Tip=180239726171137804:NOARP:23.25.26.27 One EPA Workplace Annual Compliance Report

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports Enforcement Reports Annual Compliance Report

Reports [Annual Compliance Report Filters](#)

Select Report: **Annual Compliance Summary Report**

Submission Year is: **Annual Compliance Detail by Chem** **Annual Compliance Detail by Rule** **Annual Compliance Detail by PWS** **National and Primary Agency in (ID) and Annual Compliance Report Date >= 04/01/2013 and Annual Compliance Report Date <= 12/31/2013**

Go Rows: 50 Actions

Break

1 - 20 of 20

Break:

EPA Region	10	Primacy Agency Code	ID	Violation Category	Maximum Contaminant Level Violation
Rule Group	Rule Name	# of Viols	# of RTC Viols	# of PWS in Viols	
Microbials	TCR	215	41	150	
DBPs	SH DBP	5	3	2	
Chem	Nitrates	10	9	10	
Chem	Asaric	50	57	0	
Chem	Other IOC	1	0	1	
Chem	Rad	7	0	2	
Not Regulated	Not Regulated	30	30	10	
		335	140	184	

Break:

EPA Region	10	Primacy Agency Code	ID	Violation Category	Monitoring and Reporting
Rule Group	Rule Name	# of Viols	# of RTC Viols	# of PWS in Viols	
Microbials	TCR	715	300	322	
Microbials	SWTR	6	0	2	
Microbials	LT1ESWTR	3	0	2	

- The drop down on the Select Report lists the 4 reports that can be retrieved for the original filter criteria.
- Specific data from the summary table can be retrieved by clicking on the specific data fields in the summary report.

https://efmweb.epa.gov/epic/efm/Report/25/9726271237854/REPORT_744223/60/ One EPA Workplace Annual Compliance Report

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports Enforcement Reports Annual Compliance Report

Reports [Annual Compliance Report Filters](#)

Select Report: [Annual Compliance Data by Chem](#)

Submission Year is 2014 and Quarter is 1 and EPA Region is National and Primacy Agency in (ID) and Annual Compliance Report Date >= 01/01/2013 and Annual Compliance Report Date <= 12/31/2013

Q- Go Rows: 500 Actions

☒ EPA Region = "10" ☒ ☒
☒ Primacy Agency Code = "30" ☒ ☒
☒ Rule Code = "331" ☒ ☒
☒ Violation Category Code = "MCL" ☒ ☒
☒ Detail ☒ ☒

1 - 1 of 1

Break:

EPA Region	10	Primacy Agency Code	ID	Rule Family	IOC	Violation Category	Maximum Contaminant Level Violation
Contaminant Code	Contaminant	# of Violations	# of RTC Violations	# of PWS in Violation			
1000	Nitrate	10	9	10			
		10	9	10			

1 - 1 of 1

Get Screen Reader Mode On

- Above is the specific data from the summary table which was retrieved by clicking on the "chems" under the rule group for "nitrate" specific data field from the original summary report.

https://efirm.epa.gov/epic/efirm/Firm202268973071117834/REPORT_744240_80 One EPA Workplace Annual Compliance Report...

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports Enforcement Reports Annual Compliance Report

Reports [Annual Compliance Report Filters](#)

Select Report: **Annual Compliance Detail by Rule**

Submission Year is 2014 and Quarter is 1 and EPA Region is National and Primacy Agency in (00) and Annual Compliance Report Date >= 01/01/2013 and Annual Compliance Report Date <= 12/31/2013

Q. Go Results: 100 Actions

☒ EPA Region = "10" ☒ ☒
☒ Primacy Agency Code = "00" ☒ ☒
☒ Rule Code = "331" ☒ ☒
☒ Violation Category Code = "MCL" ☒ ☒
☒ Break ☒ ☒

1 - 2 of 2

Break:

EPA Region	10	Primacy Agency Code	00	Rule Name	Nitrates
Violation Code	Violation Type Description	# of Violations	# of RTC Violations	# of PWS in Violation	
01	MCL Single Sample	14	7	9	
02	MCL Average	4	2	3	
		18	9	12	

1 - 2 of 3

[Get Screen Reader Mode On](#) release 1.0

- Above is the specific data from the summary table which was retrieved by clicking on the "Nitrates" under the Rule Name for "nitrate" specific data field from the original summary report.

https://storm.epa.gov/spr/sdr/11p=352278720171137854/REPORT_744362/NO... One EPA Workplace Annual Compliance Report...

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports Enforcement Reports Annual Compliance Report

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Select Report: [Annual Compliance Detail by PWS](#)

Submission Year is 2014 and Quarter is 1 and EPA Region is National and Primary Agency is (ID) and Annual Compliance Report Date >= 01/01/2013 and Annual Compliance Report Date <= 12/31/2013

Q- Go Actions +

☒ EPA Region = 10 ☒ ☒
☒ Primary Agency Code = 10 ☒ ☒
☒ Rule Code = 331 ☒ ☒
☒ Violation Category Code = 16CL ☒ ☒
☒ PWS Info ☒ ☒

1 - 15 of 15

PWS info:

EPA Region	10	Primary Agency	ID	PWS ID	ID3140036	PWS Name	GEM STATE ACADEMY
PWS Type	NTNCWS	Owner Type Code	Private	Primary Source	QW	Population	170
Water System Address	16115 S MONTANA AVE CALDWELL, ID 83607 US	County Served	Canyon				

Contaminant Code	Contaminant Name	Compliance Period Begin Date	Compliance Period End Date	Violation Id	Enforcement Id	Enforcement Action Type Code	Enforcen
1040	Nitrate	10/01/2013	12/31/2013	8908	-	-	-
1040	Nitrate	10/01/2013	12/31/2013	8917	377140	SIF	12/30/201
1040	Nitrate	01/01/2011	12/31/2011	8906	377108	BOX	03/26/201

PWS info:

EPA Region	10	Primary Agency	ID	PWS ID	ID3140069	PWS Name	MAVERICK SUBO LASHER CONSTRUCTION
PWS Type	CWS	Owner Type Code	Private	Primary Source	QW	Population	90
Water System Address	16605 BUCKAROO DR CALDWELL, ID 83607 US	County Served	Canyon				

Contaminant Code	Contaminant Name	Compliance Period Begin Date	Compliance Period End Date	Violation Id	Enforcement Id	Enforcement Action Type Code	Enforcen
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- Above is the specific data from the summary table which was retrieved by clicking on the “# of PWS In Viols” under the Rule Name for “nitrate” specific data field from the original summary report.

https://efmnet.epa.gov/efmnet/efmnet1524CROCHEM172817112703X.NO

One EPA Workplace

Annual Compliance Report...

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Select Report

Annual Compliance Detail by Chem

Submission Year is 2014 and Quarter is 1 and EPA Region is National and Primary Agency in (ID) and Annual Compliance Report Date >= 01/01/2013 and Annual Compliance Report Date <= 12/31/2013

Q

Go

Rows: 500

Actions

EPA Region = '10'

Primary Agency Code = '10'

Break

1 - 93 of 93

Break:

EPA Region	10	Primary Agency Code	ID	Rule Family	Violation Category	Other Violation
Contaminant Code		Contaminant		# of Violations	# of RTC Violations	# of PWS in Violation
7503		Public Notice		589	43	208
				589	43	208

Break:

EPA Region	10	Primary Agency Code	ID	Rule Family	GWR	Violation Category	Monitoring and Reporting
Contaminant Code		Contaminant		# of Violations	# of RTC Violations	# of PWS in Violation	
3014		E. COU		94	7	62	
				94	7	62	

Break:

EPA Region	10	Primary Agency Code	ID	Rule Family	GWR	Violation Category	Other Violation
Contaminant Code		Contaminant		# of Violations	# of RTC Violations	# of PWS in Violation	
0700		GROUNDWATER RULE		6	0	6	
				6	0	6	

Break:

- Above is the specific data from the original filter retrieved by clicking on the Select report drop down for Detail by Chem.

https://www.epa.gov/epa/... Annual Compliance Report

EPA SDWIS Fed Reporting Services [Annual Compliance Report Filters](#)

home Water system reports Facility reports Violation reports Enforcement reports Annual Compliance Report

Reports [Annual Compliance Report Filters](#)

Select Report [Annual Compliance Detail by Rule](#)

Submission Year is 2014 and Quarter is 1 and EPA Region is National and Primacy Agency is (ID) and Annual Compliance Report Date >= 01/01/2013 and Annual Compliance Report Date <= 12/31/2013

Q+ Go Rows 100 Actions

EPA Region = 10
Primacy Agency Code = 10
Break

1 - 35 of 35

Break :

EPA Region	10	Primacy Agency Code	ID	Rule Name	Arctic
Violation Code	Violation Type Description	# of Violations	# of RTC Violations	# of PWS in Violation	
01	MCL, Single Sample	4	4	3	
02	MCL, Average	55	53	6	
03	Monitoring, Regular	13	5	12	
		72	62	20	

Break :

EPA Region	10	Primacy Agency Code	ID	Rule Name	GWR
Violation Code	Violation Type Description	# of Violations	# of RTC Violations	# of PWS in Violation	
16	Failure to Conduct Assessment Monitoring	7	0	4	
20	Failure to Consult with State	6	0	6	
34	Monitoring, Source Water (QWR)	87	7	79	
45	Failure To Address Deficiency	212	50	96	
		312	57	185	

Break :

- Above is the specific data from the original filter retrieved by clicking on the Select report drop down for Detail by Rule.

- Above is the specific data from the original filter retrieved by clicking on the Select report drop down for Detail by PWS.

https://cfmext.epa.gov/spev/sfdw/f?p=102:23:4140818049510::NO::F One EPA Workplace Annual Compliance Report ...

EPA SDWIS Fed Reporting Services

mon103 Logout

Home Water System Reports Facility Reports Violation Reports Enforcement Reports Annual Compliance Report

Reports [Annual Compliance Report Filters](#)

Select Report: **Annual Compliance Summary Report**

Submission Year is 2014 and Quarter is 1 and EPA Region is National and Primacy Agency in (ID) and Annual Compliance Report Date >= 01/01/2013 and Annual Compliance Report Date <= 12/31/2013

Q- Go Rows 50 Actions

Break: 1 - 20 of 20

EPA Region	10	Primacy Agency Code	ID	Violation Category	Maximum
Rule Group	Rule Name	# of Viols	# of RTC Viols		
Microbials	TCR	215			
DBPs	St1 DBP	5			
Chems	Nitrates	18	0		Download
Chems	Arsenic	58	57		8
Chems	Other IQC	1	0		1
Chems	Rads	7	0		2
Not Regulated	Not Regulated	30	30		10
		335	140		184

Break:

javascript:ReportDialog2("SHOW_DOWNLOAD"); ID Violation Category Monitoring and Reporting

- Each report can be retrieved by clicking the Actions button and choosing "download".

Attachment C

Suggested Additional Information Regarding Public Water Systems

Although SDWA Section 1414(c) allows states to produce a report that provides only the numbers and types of violations, EPA encourages states to provide additional information in their annual reports. Information of the type described would help a reader of the report place violations data in context and promote better understanding of the significance of those violations.

General information on the inventory of public water systems in the state, such as:

1. The numbers, sizes, and types of public water systems.
2. The percentage of public water systems that are of each size and type.
3. The total number of customers served by public water systems.
4. The number of customers served by each type of public water system.
5. The sources of the state's drinking water.
6. The annual volume of water treated by the state's public water systems.
7. The percentage of the state's public water systems that are in compliance with state and federal drinking water regulations.
8. The overall condition of public drinking water delivery in the state.

Additional information regarding violations and compliance, such as:

1. A comparison of the total number of water systems in the state, the percentage of water systems with a violation by size of system, type of system, and type of violation.
2. The percentage of violating systems that have returned to compliance and the number in each violation category that have returned to compliance.
3. The numbers, sizes, and types of systems that are repeat violators.
4. The numbers of significant noncompliers.
5. The total number of tests performed for each SDWIS contaminant and violation code.
4. The number of violations as a percentage of the total number of tests performed.
5. The main compliance issues concerning each rule and efforts to improve compliance within these categories pertaining to compliance assistance, compliance monitoring, and/or compliance incentives.
6. Explanations of compliance assistance programs, the types of compliance assistance efforts a state conducts, and the state's policy and methods of implementation.

7. The components of a compliance assistance program which can be counted, such as the numbers of visits to systems to assist in complying with regulations.
8. Management approaches that the State is using to resolve problems indicated by the violations.
9. The use of environmental indicators.

Additional information regarding variances and exemptions:

1. The contaminants for which the state has granted a variance or exemption.
2. The date on which a variance or exemption became or will become effective.
3. The date on which a variance or exemption expired or will expire.
4. The value used to represent a modified MCL that has been approved as a condition of a variance or exemption.
5. The value used to represent an alternative treatment process that has been approved as a condition of a variance or exemption.

Trends in environmental management:

1. Any trends that the data may indicate.
2. Trends in the state's environmental management of drinking water systems and the reporting of violations.

Attachment D

Model Program Description Language

Although SDWA Section 1414(c) does not require that a state's report do more than report the numbers of violations of primary drinking water standards at its public water systems, background information on the drinking water program would help the public better understand the meaning and importance of the noted violations. EPA encourages states to incorporate the following text, or something similar, into their annual reports.

The Drinking Water Program: An Overview

The EPA established the Public Water System Supervision (PWSS) Program under the authority of the 1974 Safe Drinking Water Act (SDWA). Under the SDWA and the 1986 Amendments, EPA sets national limits on contaminant levels in drinking water to ensure that the water is safe for human consumption. These limits are known as Maximum Contaminant Levels (MCLs) and the Maximum Residual Disinfectant Levels (MRDLs). For some regulations, EPA establishes treatment techniques in lieu of an MCL to control unacceptable levels of contaminants in water. The Agency also regulates how often public water systems (PWSs) monitor their water for contaminants and report the monitoring results to the states or EPA. Generally, the larger the population served by a water system, the more frequent the monitoring and reporting (M/R) requirements. In addition, EPA requires PWSs to monitor for unregulated contaminants to provide data for future regulatory development. Finally, EPA requires PWSs to notify their consumers when they have violated these regulations. The 1996 Amendments to the SDWA require consumer notification to include a clear and understandable explanation of the nature of the violation, its potential adverse health effects, steps that the PWS is undertaking to correct the violation and the possibility of alternative water supplies during the violation.

The SDWA applies to the 50 states, the District of Columbia, Indian Lands, Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

The SDWA allows states, tribes and territories to seek EPA approval to administer their own PWSS Programs. The authority to run a PWSS Program is called primacy. For a state to receive primacy, EPA must determine that the state meets certain requirements laid out in the SDWA and the federal regulations, including the adoption of drinking water regulations that are at least as stringent as the federal regulations and a demonstration that they can enforce the program requirements. Of the 56 states and territories, all but Wyoming and the District of Columbia have primacy. The EPA regional offices administer the PWSS programs within these two jurisdictions.

The 1986 SDWA Amendments gave Indian tribes the right to apply for and receive primacy. EPA currently administers PWSS programs on all Indian lands except the Navajo Nation, which was granted primacy in late 2000.

Annual State PWS Report

Each quarter, primacy agencies submit data to the Safe Drinking Water Information System (SDWIS/FED), an automated database maintained by EPA. The data submitted include, but are not limited to, PWS inventory information, the incidence of Maximum Contaminant Level, Maximum Residual Disinfectant Level, monitoring, and treatment technique violations; and information on enforcement activity related to these violations. Section 1414(c)(3) of the Safe Drinking Water Act requires states to provide EPA with an annual report of violations of the primary drinking water standards. This report provides the numbers of violations in each of six categories: MCLs, MRDLs, treatment techniques, variances and exemptions, significant monitoring violations, and significant consumer notification violations. The EPA regional offices report the information for Wyoming, the District of Columbia, and all Indian lands but the Navajo Nation. EPA Regional offices also report federal enforcement actions taken. Data retrieved from SDWIS/FED form the basis of this report.

Public Water System

A Public Water System (PWS) is defined as a system that provides water via piping or other constructed conveyances for human consumption to at least 15 service connections or serves an average of at least 25 people for at least 60 days each year. There are three types of PWSs. PWSs can be community systems (such as towns), nontransient noncommunity systems (such as schools or factories), or transient noncommunity systems (such as rest stops or parks). For this report, when the acronym PWS is used, it means systems of all types unless specified in greater detail.

Maximum Contaminant Level

Under the Safe Drinking Water Act (SDWA), the EPA sets national limits on contaminant levels in drinking water to ensure that the water is safe for human consumption. These limits are known as Maximum Contaminant Levels (MCLs).

Maximum Residual Disinfectant Level

The EPA sets national limits on residual disinfectant levels in drinking water to reduce the risk of exposure to disinfectant byproducts formed when public water systems add chemical disinfectant for either primary or residual treatment. These limits are known as Maximum Residual Disinfectant Levels (MRDLs).

Treatment Techniques

For some regulations, the EPA establishes treatment techniques (TTs) in lieu of an MCL to control unacceptable levels of certain contaminants. For example, treatment techniques have been established for viruses, some bacteria, and turbidity.

Variances and Exemptions

A primacy state can grant a PWS a variance from a primary drinking water regulation if the characteristics of the raw water sources reasonably available to the PWS do not allow the system to meet the MCL. To obtain a variance, the system must agree to install the best available technology, treatment techniques, or other means of limiting drinking water contamination that the Administrator finds are available (taking costs into account), and the state must find that the variance will not result in an unreasonable risk to public health. The variance shall be reviewed not less than every 5 years to determine if the system remains eligible for the variance.

A primacy state can grant an exemption temporarily relieving a PWS of its obligation to comply with an MCL or treatment technique or both if the system's noncompliance results from compelling factors (which may include economic factors) and the system was in operation on the effective date of the MCL or treatment technique requirement. The state will require the PWS to comply with the MCL or treatment technique as expeditiously as practicable, but not later than 3 years after the otherwise applicable compliance date.

Monitoring

A PWS is required to monitor and verify that the levels of contaminants present in the water do not exceed the MCL or MRDL. If a PWS fails to have its water tested as required or fails to report test results correctly to the primacy agent, a monitoring violation occurs.

Significant Monitoring Violations

For this report, significant monitoring violations are generally defined as any significant monitoring violation that occurred during the calendar year of the report. A significant monitoring violation, with rare exceptions, occurs when no samples were taken or no results were reported during a compliance period.

Consumer Notification

Every community water system is required to deliver to its customers a brief annual water quality report. This report is to include some educational material, and will provide information on the source water, the levels of any detected contaminants, and compliance with drinking water regulations.

Significant Consumer Notification Violations

For this report, a significant consumer notification violation occurred if a community water system completely failed to provide its customers the required annual water quality report.

Public Notice Violations

The Public Notification Rule requires all PWS to notify their consumers any time a PWS violated a national primary drinking water regulation or has a situation posing a risk to public health. Notices must be provided to persons served (not just billing consumers).

OBTAINING COPY OF 2013 PUBLIC WATER SYSTEMS REPORT

As required by the Safe Drinking Water Act the **(Insert Name of State)** has made the 2013 Public Water Systems report available to public. Interested individuals can obtain a copy of the 2013 Annual Public Water Systems Report for **(Insert Name of the State)** by accessing: **(Select appropriate means for individual to obtain copy of the Report)**

State Website:

Telephone:

Fax Number:

E-Mail:

Address of Responsible State Department:

Contact Name:

evans-walker, daria

From: evans-walker, daria
Sent: Monday, May 18, 2015 10:21 AM
To: Daniel Czecholinski (CZECHOLINSKI.DANIEL@AZDEQ.GOV)
Cc: Chan, Patrick; Mindi Cross
Subject: Preparation of CY2014 Annual State Public Water System Compliance Report
Attachments: State Guidance for CY2014 PWS Compliance Report.pdf; AZ_CY14
_annual_compliance_report_summary.xlsx

It is time to begin preparing annual Public Water System Compliance Reports. Please see the attached memorandum and attachment for guidance on preparing this year's report for calendar year 2014. We need your input by July 1, 2015. Please contact Joyce Chandler at (202) 564-7073 or chandler.joyce@epa.gov if you have any questions or comments.

Thank you in advance for your support in preparing this report,
Daria

Guidance on Preparing Calendar Year 2014 Annual State Public Water Systems Compliance Reports

Objectives of the Guidance

This *Guidance on Preparing Annual State Public Water Systems Compliance Reports* serves two purposes. First, this *Guidance* explains provisions of the Safe Drinking Water Act (SDWA) that require states to prepare annual reports on specific violations found at public water systems (PWS) in their jurisdictions. Second, the *Guidance* provides a recommended format to minimize the burden associated with preparing annual reports. The recommended format also promotes uniform reporting to the Environmental Protection Agency (EPA) to ensure that the EPA accurately summarizes data from each state's report in EPA's annual national PWS compliance report.

What Does a State Have to Do?

Under Sections 1414 (c)(3)(A)(i-ii), the SDWA requires each state to submit to the EPA Administrator an annual report of violations. The SDWA also requires that the annual report be made available to the general public.

States are required to:

- prepare an annual report
- make the annual report available to the general public
- publish and distribute summaries of the annual report
- submit the annual report to EPA.

Does My State Have to Prepare an Annual Report?

SDWA Section 1414 mandates a report from each state, tribe or territory that has primary enforcement authority for drinking water. EPA has determined that most states, the U.S. Territories (Puerto Rico, the United States Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands), and the Navajo Nation meet the criteria for exercising primary enforcement authority and must prepare an annual report. EPA retains primary enforcement authority for PWS in Wyoming, the District of Columbia, and all other Indian lands, and will prepare the reports for those entities.

Has EPA Considered the Burden on States in Preparing the Annual Reports?

EPA has considered the burden on the states and strives to become more responsible and publicly accountable to reducing the burden of federal paperwork on the public as stated in the Paperwork Reduction Act (PRA) of 1995 (44 U.S.C. 3501). EPA estimates the burden associated with collecting the information for the annual report and submits this to the U.S. Office of Management and Budget (OMB) as required by the PRA. To obtain information on the most recent burden associated with the report refer to EPA Information Collection Request (ICR) No. 1812.04; OMB Control No. 2020-002 at www.regulations.gov.

What Information Goes into an Annual Report?

1. Information about Violations

A. Violations of Primary Drinking Water Standards

The SDWA requires states to report events or lack of activity that constituted a violation of a primary drinking water standard at some point during the year covered by the report. This includes but is not limited to those categories of violations specifically enumerated in Section 1414(c)(3)(A)(i). Accordingly, states must report all:

- Maximum contaminant level (MCL) violations
- Maximum residual disinfectant level (MRDL) violations
- Treatment technique requirement (TT) violations
- Significant monitoring and reporting (M/R) requirement violations
- Variances and exemption violations
- Record keeping violations
- Significant public notification requirement violations
- Significant consumer confidence report (CCR) notification requirement violations

Attachment A of this *Guidance* provides the Safe Drinking Water Information System/Federal Version (SDWIS/FED) violation codes for the violations listed above

that states must provide in their annual reports. With rare exceptions, "significant" monitoring and reporting (M/R) violations that must be included in the state's annual report occur when no samples are taken or no results are reported during a compliance period. A significant CCR notification violation occurs when a public water system completely fails to provide the required notification to its users as required. (See **How Does a State Prepare its Annual Report**, page 5).

While there are few variances and exemptions currently in effect, states should closely monitor a public water system's compliance with the conditions of its variance or exemption. Any violations must be reported.

For maximum clarity, violations information should be presented in a table format. The table should display, for each contaminant regulated by a national primary drinking water regulation, the number of maximum contaminant level, maximum residual disinfectant levels, or treatment technique (MCL/MRDL/TT) violations and the number of significant M/R violations that occurred during the reporting period. Monitoring and reporting violations related to unregulated contaminants need not be reported. The table should also indicate the number of significant CCR notification violations. Because CCR notification and the public notification violations are public water system-based rather than contaminant-based, the state's report can simply indicate the total number of significant violations of the notification rule.

B. Reporting Period is a Calendar Year

In 1997, EPA and drinking water stakeholders agreed that both state and national annual reports would discuss drinking water violations on a calendar year basis (January 1 – December 31). This means the state's annual report should provide information about all relevant violations during the year covered by the report. This will include:

- Violations that began before January 1 of the year and continued into the year covered by the report
- Violations that ended during the year covered by the report
- Violations at PWS that operated for only part of the year covered by the report, or permanently ceased operations during the year.

If a system returned to compliance before the year covered by the report and remained in compliance throughout the year covered by the report, its violations are not counted.

If a system permanently ceased operations before the end of the year covered by the report, its prior uncorrected violations are not counted, i.e., if a system permanently ceased operations in 2014, its prior uncorrected violations are not counted.

2. Additional Information

A state's report should contain more than just violations data. Ideally, a state report will explain its purpose, present the statutorily required violations information with a level of explanation adequate to answer questions from the general public, describe the significance of the reported violations, and indicate actions the state will take to protect the public from future violations. States should include the following elements in their reports:

- An introduction explaining the purpose of the report, its statutory origin, and the period of time covered by the report
- A table summarizing the MCL/MRDL/TT and M/R violations in the compliance report categories *i.e.*, chemical contaminant group for volatile organic compounds (VOCs), synthetic organic chemicals (SOCs), inorganic chemicals (IOCs), nitrate, and radionuclides; Lead and Copper Rule (LCR); Total Coliform Rule (TCR); Surface Water Treatment Rule (SWTR), Interim Enhanced Surface Water Treatment Rule (IESWTR), Filter Backwash Recycling Rule (FBRR), Long Term 1 Enhanced Surface Water Treatment Rule (LT1); Disinfectant and Disinfection By-Product Rule (DBPR); and Groundwater Rule (GWR). (See **How Does a State Prepare its Annual Report**, page 5). The table should indicate how many PWS are responsible for the reported MCL/MRDL/TT and M/R violations in each of the SDWIS/FED Annual Compliance Report (ACR) report categories, provide the total number of PWS with reported MCL/MRDL/TT violations (aggregating all SDWIS/FED ACR report categories), and provide the total number of PWS with reported M/R violations (aggregating all SDWIS/FED ACR report categories). The table should indicate the number of significant CCR notification violations and the significant public notification violations and the number of PWS with the violations. The table should also provide a grand total of PWS with violations of any type and of any rule category. The table should also include any explanatory text necessary to make the table comprehensible to the general public

Providing separate totals reveals the comparative incidence of different kinds of violations. Providing a grand total of PWS with a violation (counting a system with multiple violations as one violating system) allows the reader to determine if the occurrence of violations was distributed across large segments of the state's PWS or if it was confined to a smaller number of PWS, each responsible for many violations

- A discussion identifying violations of any state drinking water standards more stringent than federal requirements
- A discussion of the number of violations of variances and exemptions during the reporting period, if any, the number of variances and exemptions in effect during the reporting period, and explanatory text necessary to make this information comprehensible to the general public
- A conclusion describing the significance of the numbers of violations reported
- An attached list identifying, at a minimum, the PWS with MCL violations, MRDL violations and/or TT violations. This list, which can consist of a printout of the state's data file, should be available to the general public as part of the full report, and may be omitted from the published summary of the report distributed by the state

How Does a State Prepare its Annual Report?

1. Sources of Violations Data

A. SDWIS/FED Reports

Every state supplies information on its PWS and their violations to EPA. This information is then uploaded into SDWIS/FED Data Warehouse (SFDW) (EPA's drinking water database of record). The information is checked and posted or later retrieved from SFDW. The data can be retrieved through ad hoc reports or the Annual Compliance Report from the SDWIS Fed Reporting Services (SFRS).

- i. SFRS Ad hoc Reports – Using SFRS to create ad hoc reports allows greater flexibility to retrieve the desired violation data and to generate it in the desired format for the annual report. For example, using the ad hoc report, one can specify which quarter and year the data is retrieved from the SFDW.
- ii. SFRS Annual Compliance Report - The Annual Compliance Report in SFRS, extracts the violations for all the rules from SFDW. Attachment B of this *Guidance* explains how a state can use SDWIS/FED to generate the Annual Compliance Report and any associated queries for retrieving needed information for their annual reports.

Because violations of variance and exemptions are rare, the Annual Compliance Report in SFRS is not designed to retrieve information on this type of violation. States may elect to discuss the numbers (or lack) of variance and exemptions violations of in the narrative portion of their reports.

B. State Databases

The Annual Compliance Report in SFRS provides states with a simple means of retrieving violations information for their annual reports. A state that reports violations information from its stand-alone database or from other non-SFDW sources should ensure that these other data sources and SFDW contain identical information. Reporting data different from what the state has already submitted in its own quarterly reports to SFDW could confuse the general public, resulting in requests for explanations.

States that elect not to use the Annual Compliance Report in SFRS should consult the rule-specific violation criteria in Attachment A when determining violation counts. This will ensure consistency with data already reported to SFDW.

2. Tables and Lists

A. SFDW Annual Compliance Report

The Annual Compliance Report can generate a state-specific violations table suitable for inclusion in a state's annual report. Attachment B of this *Guidance* explains how states can use SFDW to generate the SFDW Annual Compliance Report and any associated queries for retrieving needed information for their annual reports.

B. The Details by PWS ID from the Report Specific tab

EPA also makes available with the Annual Compliance Report, a detailed listing of violations and enforcement actions along with basic information on the PWS, such as location, size and population served. Attachment B of this *Guidance* explains how states can use the Annual Compliance Report to generate the Details by PWS ID portion.

C. State Databases

If a state relies on data from its own sources to compile its annual report, the

state's report should include a table that presents violations data in a format similar to the table generated by the SFRS Annual Compliance Report for that year. Consistency among states will ensure that EPA accurately summarizes each state's data in the annual national report.

States should also recognize that the general public may want to know which system is responsible for the reported violations. It may be more efficient for a state to include a list of PWS and their violations as part of its publicly available annual report than for the state to later generate such lists in response to requests for explanations.

3. Narrative Portions

State reports are more effective when they provide more information. Attachments C and D of this *Guidance* present recommendations for including this type of information. States are encouraged to use text from these attachments, where appropriate in their reports, to give the general public a more comprehensive account of the state's PWS Supervision program and the significance of reported violations.

When Does a State Begin Preparing its Annual Report?

A. States Using SFDW Violations Data

EPA recommends that a state use the SFRS Annual Compliance Report and the details portion of the report to generate data for its annual report. The state can then compare its data with the SDWIS/FED April database. This allows the state to draw from the same violations maintained in SDWIS/FED. EPA will use the aggregate violations data for the annual national report, while affording the state the maximum amount of time to analyze this data and prepare its report.

B. States Using Other Data Sources

If a state relies on a non-SFDW database to generate violations data for its annual report, EPA recommends that the state use a database frozen immediately after the last of the state's data submissions to SFDW prior to EPA's April 1 freeze date. This will ensure that the state's database and SFDW contain the same violations data, and simplify the identification of any subsequent updates or corrections to the state's database. While the desirability of using a frozen database suggests that state's should not generate data for their reports until after the database is frozen, a state that chooses not to use violations data from SFDW database may begin preparing its annual report as soon as it

believes it has reliable data.

When Does a State Make its Annual Report Available to the General Public?

When EPA and drinking water stakeholders agreed that the annual reports would discuss violations during a calendar year, they also agreed that the state reports would be made available to the general public by July 1 of the following year. This allows states time (after the close of a calendar year) to update the SFDW database EPA will freeze in April. It will also give the states time to use the frozen SFDW database to prepare their reports.

How Does a State Publish and Distribute Summaries of its Full Report and Make its Annual Report Available to the General Public?

In SDWA Section 1414(c)(3)(A)(ii), Congress requires states to publish and distribute summaries of the full report and identify where the full report is available for review. Suggested methods for meeting these requirements include:

- Posting information on the availability of the summary and the full report on local, state, and EPA web sites
- Displaying the summary and an official notice of the availability of the full report in area newspapers
- Conducting press conferences when the report becomes available, incorporating notices about the report into standard press conferences, or issuing press releases with the summary
- Preparing notices for distribution in public libraries and other public buildings
- Distributing copies of the summary to public information offices, libraries, state/local departments of health; making the full report available at the same locations
- Using other methods that the state's experience has shown to be effective

EPA anticipates that many states, to avoid duplication of effort, will use portions of the full report as the summary for their reports. Each state's annual report should indicate

how the state satisfied the SDWA requirement to publish and distribute a summary of the full report and how the full report has been made available to the general public.

When Does a State Submit its Annual Report To EPA?

States should submit copies of their annual reports to EPA by July 1 of the year following the calendar year that is the subject of the report. For example the 2014 report is due by July 1, 2015.

How Does a State Submit its Annual Report To EPA?

Reports should be submitted via email to chandler.joyce@epa.gov. Alternatively, hard copy reports can be sent to the following address:

Annual PWS Compliance Report
U.S. Environmental Protection Agency
1200 Pennsylvania Avenue, N.W. - Mail Code 2227A
Washington, DC 20460
Attn: Joyce Chandler

Questions can be directed to Joyce Chandler at 202-564-7073.

Attachment A

RULE-SPECIFIC VIOLATION CRITERIA FOR THE ANNUAL PUBLIC WATER SYSTEMS COMPLIANCE REPORT

Details by Contaminant Group – Contaminant codes

Chemical Contaminant Group

Maximum Contaminant Level (MCL – 01, 02); Monitoring & Reporting (M/R - 03,04)

Volatile Organic Contaminants (VOCs)

2378/ 80,

2955/ 64/ 68/ 69/ 76/ 77/ 79/ 80/ 81/ 82/ 83/ 84/ 85/ 87/ 89/ 90/ 91/ 92/ 96

Synthetic Organic Contaminants (SOCs)

2005/ 10/ 15/ 20/ 31/ 32/ 33/ 34/ 35/ 36/ 37/ 39/ 40/ 41/ 42/ 43*/ 44*/ 46/ 47*/ 50/ 51/ 63/
65/ 67,

2105/ 10,

2274/ 98,

2306/ 26/ 83/ 88/ 90/ 92/ 94/ 96/ 98,

2400,

2931/ 46/ 59

Inorganic Contaminants (IOCs)

1038, 1040, 1041,

1005/ 10/ 15/ 20/ 24/ 25/ 35/ 36*/ 45/ 74/ 75/ 85/ 94

Radionuclides

(MCL – 01, 02); (M/R - 03,04)

4000/ 06/ 10, 4100/ 01/02/ 74

Surface Water Rules (SWTR/IESWTR/LT1SWTR/LT2SWTR/FBRR)

M/R

31/0200, 31/0800, 36/0200, 36/0800 and major indicator flag = 'y'

29/0300 and major indicator flag = 'y'

38/0300 and major indicator flag = 'y'

32/0800 LT2

32/0100 Turbidity

32/3014

Treatment Technique (TT)

37/0800

41/0200

42/0200

37/0300

43/0300

44/0300

47/0300

Health-based

33.0800 LT2

41/0800 LT2
420800 LT2
45/0800 LT2
47/0800
Other
09/0300
09/0800

Total Coliform Rule (TCR)

M/R
23/3100
25/3100
MCL
21/3100
22/3100

Disinfection Byproducts Rule (Stage 1 & 2 DBP)

MCL and MRDLs
02/1009
02/2950
02/2456
02/1011
11/1008
11/1006
11/0999
13/1008
Treatment Technique (TT)
12/0400
46/2920
M/R (only majors - major indicator flag = 'y')
27/2920
27/1009
27/1011
27/2456
27/2950
27/1006
27/1008
27/0999
30/0600 DBPR2
30/2456 HAA5
30/2950 TTHM
35/0600 DBPR
35/2456
35/2950
Other
09/0600

Lead and Copper Rule (LCR)

Treatment Technique (TT)

57/5000

58/5000

59/5000

63/1022

63/1030

64/5000

65/5000

M/Rs

51/5000

52/5000

53/5000

56/5000

66/5000

Other

05/5000

09/5000

Groundwater Rule (GWR)

Treatment Technique (TT)

41/0700-GWR

42/0700-GWR

45/0700-GWR

48/0700-GWR

M/R

19/3002, 3014, 3028

31/0700-GWR

34/3002, 3014, 3028

Other

05/0700-GWR

09/0700-GWR

20/0700-GWR

28/0700-GWR

73/0700-GWR

75/7500-PN Rule

Consumer Confidence Report (CCR)

71

Public Notice (PN)

75

Note: Contaminant codes with an * represent contaminants that are required for monitoring/reporting violations only.

of violations

This represents a count of the number of violation for the specific contaminant/rule occurring during the calendar year of the report that have NOT return to compliance (RTC'd) . The links of the violations to enforcements needs to be made in order to determine this. Links to the following enforcement action codes need to be made for each violation that qualifies for the report calendar year – SOX, EOX, ETX, ESX. Links to ESX and ETX need to be made using the following table – dbo_ViolAssoc.

The violations that qualify will meet the following date selection criteria:

Begin date <= last date of the calendar year 12/31/xx

End date >= begin date of the calendar year 1/1/xx

This report will run against the 1st quarter April freeze, e.g., (10q1).

of RTC violations

This represents the number of violations from the step above that have RTC'd during the calendar year, i.e., have one of the following enforcement codes SOX, EOX, ETX, ESX, with dates that are during the calendar year of the report (between 1/1/xx and 12/31/xx).

SDWIS/Reporting Services Report-Specific Tab Criteria Options.

- **Summary Annual Compliance Report**
- **Display Details by Contaminant Group**
- **Display Details by PWS ID**

Attachment B

Instructions for Accessing Standard Reports from SDWIS/FED for Chemical Contaminant Group, Total Coliform Rule, Surface Water Treatment Rule, Interim Enhanced Surface Water Treatment Rule, Long Term 1 & Long Term 2 Surface Water Treatment Rules, Lead & Copper Rule, Stage 1 & Stage 2 Disinfectant/Disinfection By Product Rule (DBPR), Public Notification Rule, Consumer Confidence Report, and Groundwater Rule

The EPA has created a SDWIS/FED standard report which states can run and include in a state's Annual Compliance Report (ACR) or can be used as a tool for data reconciliation for between SDWIS/FED and state database for the Chemical Contaminant Group, Total Coliform Rule (TCR), Surface Water Treatment Rule (SWTR), Interim Enhanced Surface Water Treatment Rule (IESWTR), Long Term 1 Surface Water Treatment Rules (LT1SWTR), Long Term 2 Surface Water Treatment Rule (LT2SWTR), Lead & Copper Rule, Stage 1 & Stage 2 MDBP, Public Notification Rule, Consumer Confidence Report, and Groundwater Rule.

The SDWIS/FED standard report contains two possibilities; the first, and the default, is the Summary Annual Compliance Report. The second, which needs to be selected by the user, provides a water system specific listing of all violations and related enforcement actions associated with the violations included in the summary report. These reports are described below.

C Standard Report

Summary Annual Compliance Report

The summary option (default) for Annual Compliance (AC) standard report is designed to provide summary counts of violations and water systems during the period of the ACR. This report will provide for each contaminant regulated by national primary drinking water regulation, the numbers of maximum contaminant level (MCL) and treatment technique (TT) violations, the number of significant monitoring/reporting (M/R) violations, and the number of significant consumer notification and public notice violations for the calendar year 2014. This report will also indicate the number of systems responsible for the reported violations of these types in each of the Significant violations categories (*i.e.*, chemical contaminant group for VOCs, SOCs, IOCs, nitrate and radionuclides; lead and copper rule, surface water treatment rule, total coliform rule, and such other categories as may be appropriate in future reports), a total number for all systems with reported violations of these types (aggregating all violation categories), and a grand total of all systems with violations of any type and for any rule category.

Listed below are the steps to generate the AC standard report. An example of this report is provided at the end of the attachment.

Details by PWS ID from the Report Specific tab

This portion of the standard report provides the detailed listing of violations and enforcement actions, if any, as well as inventory information for the required list of public water systems (PWSs) during the period of the ACR.

To run a SDWIS/FED standard report, users must be authorized to use the Central Data Exchange SDWIS Reporting services to access the standard reports. If you do not have such authorization, contact your regional SDWIS/FED coordinator for assistance in obtaining access.

The screenshot shows a web browser window titled "Environmental Protection Agency - Windows Internet Explorer provided by EPA". The address bar shows the URL "https://cdx.epa.gov/SSL/CDX/login.asp". The page features the EPA logo on the left and the text "U.S. Environmental Protection Agency" on the right. The main heading is "Login". Below this, there are links for "Recent Announcements", "Contact Us", "CDX Home", and "Login". A message states: "If you have forgotten your password, or if your password doesn't work, you may re-establish your password by clicking [here](#)". A button labeled "Central Data Exchange Login" is present. Below this is a "Warning Notice" section, followed by a "Privacy Statement" section. The Privacy Statement text reads: "EPA will use the personal identifying information which you provide for the expressed purpose of registration to the Central Data Exchange site and for updating and correcting information in internal EPA databases as necessary. The Agency will not make this information available for other purposes unless required by law. EPA does not sell or otherwise transfer personal information to an outside third party. [Federal Register March 18, 2002 (Volume 67, Number 52)(Page 12010-12013)]". The login form includes fields for "User Name" and "Password", a "Forgot Password?" link, and "LOGIN" and "CLEAR" buttons. At the bottom, a message states "You are in an encrypted secure session." and a footer contains "Help Desk: (888) 890-1995" and "EPA Home Privacy and Security Notice Contact Us". The status bar at the bottom indicates "Local intranet" and "100%".

- Connect and log into EPA's Central Data Exchange website at <https://cdx.epa.gov>

Environmental Protection Agency - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Home

https://cdx.epa.gov/SSL/cdx/MyCDX.asp

U.S. Environmental Protection Agency

MyCDX

Report Announcements | Contact Us

Logged in as: ADC3E0DL3DV43

Central Data Exchange - MyCDX

Welcome, Mr. Abe Siegel

Last Login: October 5, 2006
Registered Since: January 14, 2005
Recertification Date: January 14, 2005

CDX Registration Status: Active

You have 282 new messages in your [inbox](#)

Change System Password	Edit Personal Information	Edit Current Account Profiles	Add New Employer Profile
--	---	---	--

Available Account Profiles:

- [SDWIS: SDWIS/Reporting Services](#)
- [SDWIS: SDWIS ODS File Request](#)
- [SDWIS: SDWIS File Upload](#)

You are in an encrypted secure session.

Help Desk (888) 996-1995
EPA Home | Privacy and Security Notice | Contact Us

EPA Central Data Exchange

start | > R... | 2 H... | 2 W... | Add... | new... | 4 L... | 2 H... | 1:31 PM

- Select SDWIS:SDWIS/Reporting Services

SDWIS/Reporting Services - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Search Favorites

Address https://sdwis.epa.gov/sdwis/SDWIS_Menu.aspx Go

EPA Office of Ground Water and Drinking Water
SDWIS/Reporting Services Home Log Out

Today is Thursday October 05, 2006 You are currently logged in as **Abe Siegel**

SDWIS Standard Reports

- 03 Service Area and Facility Data Report
- 24 PWS Violation and Enforcement Summary Report
- 32 ABC Grant Eligibility Report
- 33 Annual Data Evaluation Report
- AC Annual Compliance Report
- LC Lead and Copper Report

SNC Report

- SDWIS SNC Report

SDWIS SETS Reports

- Unaddressed SNC Report

Public Water System Interactive Drill-Down Reporting

Click on a region to view cached regional reports

Legend:
 Guam
 Total Territories
 American Samoa
 Northern Mariana Islands

https://sdwis.epa.gov/sdwis/SDWIS_Menu.aspx Internet

start

- Click on the AC Annual Compliance Report

SDWIS/Reporting Services - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites

Address: https://sdwis.epa.gov/sdwis/SDWIS_Report.aspx?report=AC

EPA Office of Ground Water and Drinking Water
SDWIS/Reporting Services

Home Log Out

Today is Thursday, October 05, 2006 You are currently logged in as Abe Siegel

Annual Compliance Report (AC) Report Format: Adobe PDF

Basic Water System Enforcement Report-Specific Archive Retrieve

Basic selection criteria specified on this page will be coupled with water system and/or violation/enforcement selection criteria specified (if any) to determine which water systems, violations, and/or enforcements are to be selected. The basic selection criteria below are mutually exclusive (i.e. you may only select from ONE of the three options).

Regions: Deselect All

Region 01 - 01, Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont
Region 02 - 02, New Jersey, New York, Puerto Rico, Virgin Islands
Region 03 - 03, Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia
Region 04 - 04, Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee
Region 05 - 05, Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

Primacy Agencies: Deselect All

01
02
03
04
05
06
07
08

PWS ID(s) Enter one per line:

Display Sensitive Enforcement Codes?
Yes No

Run Report Review Current Criteria

Done start 1:25 PM

- Select a state from the Primacy Agencies listing, scrolling to and clicking the appropriate state code.
- Click the "Report Specific" tab in the upper central part of the screen. This will allow the user to decide whether to include the PWS detail report. The default is to exclude this detail report.

SDWIS/Reporting Services - Windows Internet Explorer provided by EPA

at: https://sdwis.epa.gov/SDWIS_Report.aspx?report=AC

SDWIS/Reporting Services

EPA Office of Ground Water and Drinking Water
SDWIS/Reporting Services

Home • Log Out

Today is Thursday, September 30, 2010

You are currently logged in as **Roger Howard**

Annual Compliance Report (AC)

Report Format: **Adobe PDF**

Basic	Water System	Violation	Enforcement	Report Specific	Archive	Retrieve
-------	--------------	-----------	-------------	-----------------	---------	----------

Report Title:

Additional Report Options

Compliance Date:
 From: To:

Summary Annual Compliance Report? *
 Yes ☐ No ☐

* Note: The summary only appears on the PDF version of the report.

Details:
☒ None
☐ By PWS ID
☐ By PWS Type

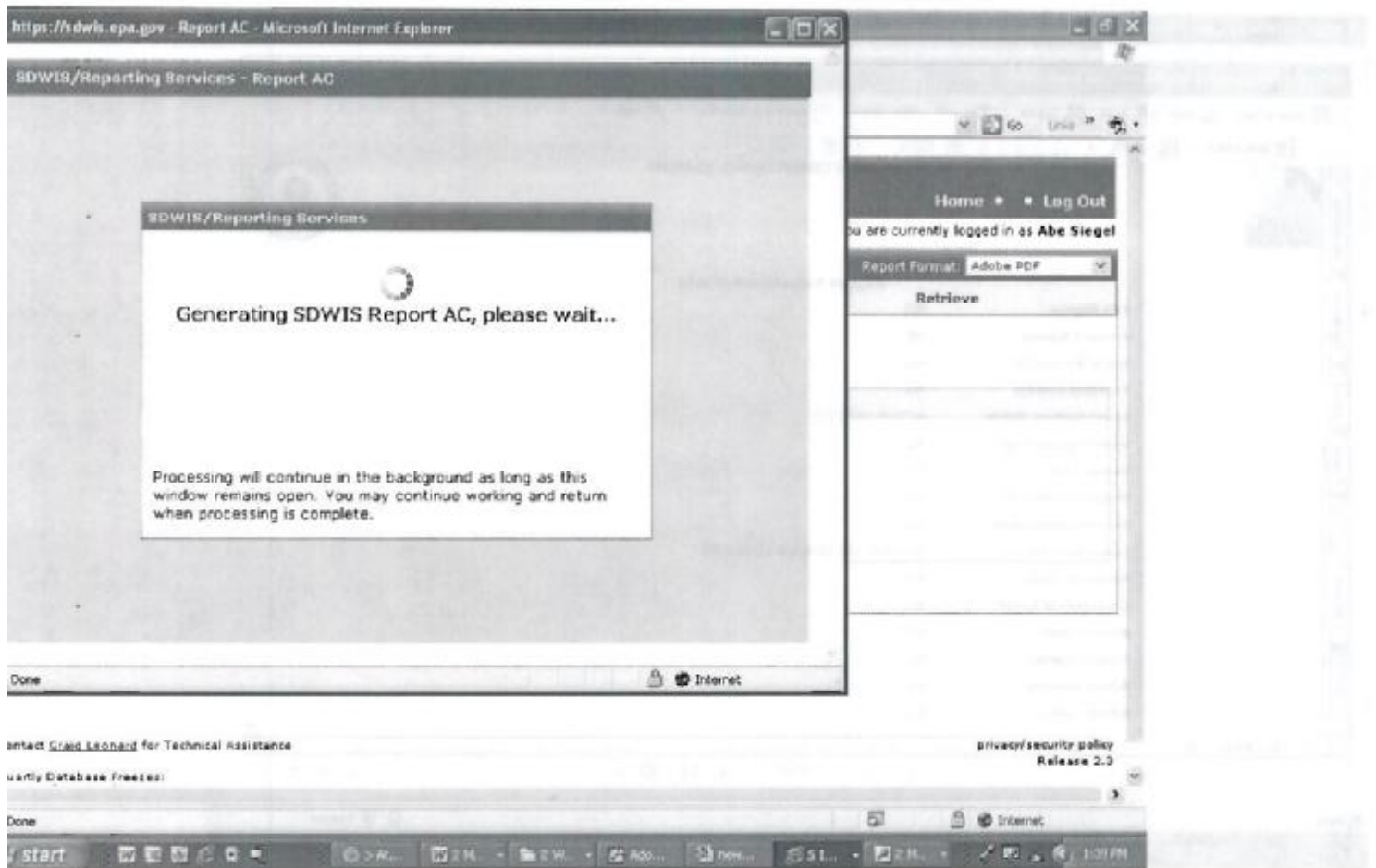
Contact [Craig Leonard](#) for Technical Assistance

Quarterly Database Freezes:
 Q1 - April, Q2 - July, Q3 - Oct, Q4 - Jan

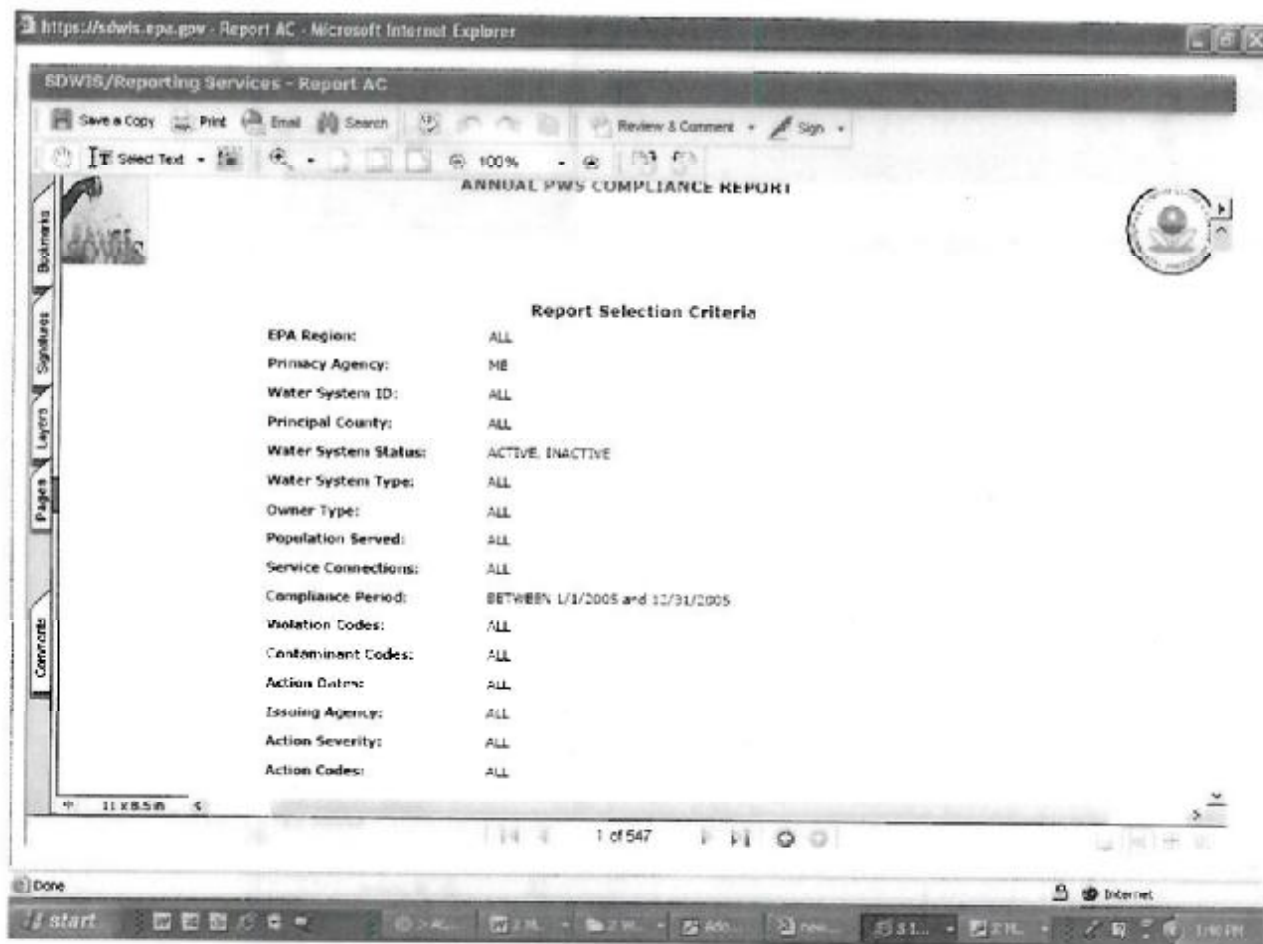
privacy/security policy
 Release 2.8

Local intranet 100%

- Enter compliance date.
- If under **Details**, "None" is selected, then only the Summary Annual Compliance Report is generated. If "By PWS ID" or "By PWS Type" is selected, then the appropriate detailed report will be generated.
- Click on "Run Report" on the left side of the screen to run the report.



- While the report is running, the screen above will be displayed.
- When the report is completed, it will show up in the screen below. Note: users must have Adobe Acrobat file reader installed on their desktop, as the report is delivered in a PDF format.



- The screen above is the banner page, providing the user's report selection criteria.
- The summary report will be displayed first, and the detail report, if selected, second.

SDWIS/Reporting Services - Report AC

Save a Copy Print Email Search Review & Comment Sign

Select Text 67%

SAFE DRINKING WATER INFORMATION SYSTEM
ANNUAL PWS COMPLIANCE REPORT

EPA REGION: 07

AC Chem

PRIMACY AGENCY: JA

Inorganic Contaminants (IUG)

		MCLs				Monitoring	
Contaminant			# of	# of	# of	# of	# of
Code	Name	MCL (mg/l)	Violations	RTC Violations	PWS in Violation	Violations	RTC Violations
1005	Arsenic	0.10	1	0	1	12	3
1010	Barium	2.00	0	0	0	10	3
1015	Cadmium	0.01	0	0	0	10	3
1020	Chromium	0.10	0	0	0	10	3
1025	Fluoride	4.00	0	0	0	12	4
1035	Mercury	0.00	0	0	0	10	3
1040	Nitrate	20.00	46	13	21	225	120
1041	Nitrite	2.00	3	1	3	24	13
1045	Selenium	0.05	0	0	0	10	3
1074	Arsenic, Total	0.01	0	0	0	10	3
1089	Thallium, Total	0.00	0	0	0	10	3
IOC Totals:			50	14	25	343	167

11 x 8.5 in

2 of 300

https://sdwls.epa.gov: Report AC - Microsoft Internet Explorer

SDWIS/Reporting Services - Report AC

Save a Copy Print Email Search Review & Comment Sign

Select Text 87%

**SAFE DRINKING WATER INFORMATION SYSTEM
ANNUAL PWS COMPLIANCE REPORT**

EPA REGION: 07

Details by PWSID

PRIMACY AGENCY: IA

IA2242700
MILLVILLE STEAKHOUSE
 Water System Address
 ATTN EDWARD MEYER, OWNER
 2170 N MAIN ST
 MILLVILLE, IA 52052
 Federal PWS Type
 TNCWS
 County Served
 Clayton
 Owner Code
 Private
 Primary Source
 SW
 Population
 20
 Compliance Table

Compliance	TT/PWS	Result	Comp. Begin	Comp. End	Viol. ID	Est. ID	Est. Action	Est. Date
1040 Nitrate	VR		10/01/2004	09/30/2005	27606 045006	SDX		12/16/2005

IA2250201
MAGGIES DINER
 Water System Address
 420M DAUGHTER - PRINCIPAL
 PO BOX 6
 MCGREGOR, IA 52157
 Federal PWS Type
 TNCWS
 County Served
 Clayton
 Owner Code
 Private
 Primary Source
 SW
 Population
 41
 Compliance Table

Compliance	TT/PWS	Result	Comp. Begin	Comp. End	Viol. ID	Est. ID	Est. Action	Est. Date
1040 Nitrate	VR		10/01/2005	12/31/2005	108096 074806	SDX		01/25/2006
	VR			11/31/2005	108096 074806	SDX		01/25/2006
	VR			11/31/2005	108096 075506	SDX		01/25/2006
1040 Nitrate	VR		11/01/2005	11/31/2005	120896 075206	SDX		01/25/2006
	VR			11/31/2005	120896 075206	SDX		01/25/2006
	VR			11/31/2005	120896 076706	SDX		01/25/2006
	VR			11/31/2005	120896 076706	SDX		01/25/2006
1040 Nitrate	VR		05/01/2005	09/30/2005	32206 073906	SDX		11/05/2005
	VR			09/30/2005	32206 074006	SDX		11/05/2005

11 x 8.5 in 75 of 300

Done Internet

start

- Above is a typical page from the detail report
- The report can be saved to a user's desktop as well as printed out if desired.

Attachment C

Suggested Additional Information Regarding Public Water Systems

Although SDWA Section 1414(c) allows states to produce a report that provides only the numbers and types of violations, EPA encourages states to provide additional information in their annual reports. Information of the type described would help a reader of the report place violations data in context and promote better understanding of the significance of those violations.

General information on the inventory of public water systems in the state, such as:

1. The numbers, sizes, and types of public water systems.
2. The percentage of public water systems that are of each size and type.
3. The total number of customers served by public water systems.
4. The number of customers served by each type of public water system.
5. The sources of the state's drinking water.
6. The annual volume of water treated by the state's public water systems.
7. The percentage of the state's public water systems that are in compliance with state and federal drinking water regulations.
8. The overall condition of public drinking water delivery in the state.

Additional information regarding violations and compliance, such as:

1. A comparison of the total number of water systems in the state, the percentage of water systems with a violation by size of system, type of system, and type of violation.
2. The percentage of violating systems that have returned to compliance and the number in each violation category that have returned to compliance.
3. The numbers, sizes, and types of systems that are repeat violators.
4. The numbers of significant noncompliers.
5. The total number of tests performed for each SDWIS contaminant and violation code.
4. The number of violations as a percentage of the total number of tests performed.
5. The main compliance issues concerning each rule and efforts to improve compliance within these categories pertaining to compliance assistance, compliance monitoring, and/or compliance incentives.
6. Explanations of compliance assistance programs, the types of compliance assistance efforts a state conducts, and the state's policy and methods of implementation.

7. The components of a compliance assistance program which can be counted, such as the numbers of visits to systems to assist in complying with regulations.
8. Management approaches that the State is using to resolve problems indicated by the violations.
9. The use of environmental indicators.

Additional information regarding variances and exemptions:

1. The contaminants for which the state has granted a variance or exemption.
2. The date on which a variance or exemption became or will become effective.
3. The date on which a variance or exemption expired or will expire.
4. The value used to represent a modified MCL that has been approved as a condition of a variance or exemption.
5. The value used to represent an alternative treatment process that has been approved as a condition of a variance or exemption.

Trends in environmental management:

1. Any trends that the data may indicate.
2. Trends in the state's environmental management of drinking water systems and the reporting of violations.

Attachment D

Model Program Description Language

Although SDWA Section 1414(c) does not require that a state's report do more than report the numbers of violations of primary drinking water standards at its public water systems, background information on the drinking water program would help the public better understand the meaning and importance of the noted violations. EPA encourages states to incorporate the following text, or something similar, into their annual reports.

The Drinking Water Program: An Overview

The EPA established the Public Water System Supervision (PWSS) Program under the authority of the 1974 Safe Drinking Water Act (SDWA). Under the SDWA and the 1986 Amendments, EPA sets national limits on contaminant levels in drinking water to ensure that the water is safe for human consumption. These limits are known as Maximum Contaminant Levels (MCLs) and the Maximum Residual Disinfectant Levels (MRDLs). For some regulations, EPA establishes treatment techniques in lieu of an MCL to control unacceptable levels of contaminants in water. The Agency also regulates how often public water systems (PWSs) monitor their water for contaminants and report the monitoring results to the states or EPA. Generally, the larger the population served by a water system, the more frequent the monitoring and reporting (M/R) requirements. In addition, EPA requires PWSs to monitor for unregulated contaminants to provide data for future regulatory development. Finally, EPA requires PWSs to notify their consumers when they have violated these regulations. The 1996 Amendments to the SDWA require consumer notification to include a clear and understandable explanation of the nature of the violation, its potential adverse health effects, steps that the PWS is undertaking to correct the violation and the possibility of alternative water supplies during the violation.

The SDWA applies to the 50 states, the District of Columbia, Indian Lands, Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

The SDWA allows states, tribes and territories to seek EPA approval to administer their own PWSS Programs. The authority to run a PWSS Program is called primacy. For a state to receive primacy, EPA must determine that the state meets certain requirements laid out in the SDWA and the federal regulations, including the adoption of drinking water regulations that are at least as stringent as the federal regulations and a demonstration that they can enforce the program requirements. Of the 56 states and territories, all but Wyoming and the District of Columbia have primacy. The EPA regional offices administer the PWSS programs within these two jurisdictions.

The 1986 SDWA Amendments gave Indian tribes the right to apply for and receive primacy. EPA currently administers PWSS programs on all Indian lands except the Navajo

Nation, which was granted primacy in late 2000.

Annual State PWS Report

Each quarter, primacy agencies submit data to the Safe Drinking Water Information System (SDWIS/FED), an automated database maintained by EPA. The data submitted include, but are not limited to, PWS inventory information, the incidence of Maximum Contaminant Level, Maximum Residual Disinfectant Level, monitoring, and treatment technique violations; and information on enforcement activity related to these violations. Section 1414(c)(3) of the Safe Drinking Water Act requires states to provide EPA with an annual report of violations of the primary drinking water standards. This report provides the numbers of violations in each of six categories: MCLs, MRDLs, treatment techniques, variances and exemptions, significant monitoring violations, and significant consumer notification violations. The EPA regional offices report the information for Wyoming, the District of Columbia, and all Indian lands but the Navajo Nation. EPA Regional offices also report federal enforcement actions taken. Data retrieved from SDWIS/FED form the basis of this report.

Public Water System

A Public Water System (PWS) is defined as a system that provides water via piping or other constructed conveyances for human consumption to at least 15 service connections or serves an average of at least 25 people for at least 60 days each year. There are three types of PWSs. PWSs can be community systems (such as towns), nontransient noncommunity systems (such as schools or factories), or transient noncommunity systems (such as rest stops or parks). For this report, when the acronym APWS@ is used, it means systems of all types unless specified in greater detail.

Maximum Contaminant Level

Under the Safe Drinking Water Act (SDWA), the EPA sets national limits on contaminant levels in drinking water to ensure that the water is safe for human consumption. These limits are known as Maximum Contaminant Levels (MCLs).

Maximum Residual Disinfectant Level

The EPA sets national limits on residual disinfectant levels in drinking water to reduce the risk of exposure to disinfectant byproducts formed when public water systems add chemical disinfectant for either primary or residual treatment. These limits are known as Maximum Residual Disinfectant Levels (MRDLs).

Treatment Techniques

For some regulations, the EPA establishes treatment techniques (TTs) in lieu of an MCL

to control unacceptable levels of certain contaminants. For example, treatment techniques have been established for viruses, some bacteria, and turbidity.

Variances and Exemptions

A primacy state can grant a PWS a variance from a primary drinking water regulation if the characteristics of the raw water sources reasonably available to the PWS do not allow the system to meet the MCL. To obtain a variance, the system must agree to install the best available technology, treatment techniques, or other means of limiting drinking water contamination that the Administrator finds are available (taking costs into account), and the state must find that the variance will not result in an unreasonable risk to public health. The variance shall be reviewed not less than every 5 years to determine if the system remains eligible for the variance.

A primacy state can grant an exemption temporarily relieving a PWS of its obligation to comply with an MCL or treatment technique or both if the system's noncompliance results from compelling factors (which may include economic factors) and the system was in operation on the effective date of the MCL or treatment technique requirement. The state will require the PWS to comply with the MCL or treatment technique as expeditiously as practicable, but not later than 3 years after the otherwise applicable compliance date.

Monitoring

A PWS is required to monitor and verify that the levels of contaminants present in the water do not exceed the MCL or MRDL. If a PWS fails to have its water tested as required or fails to report test results correctly to the primacy agent, a monitoring violation occurs.

Significant Monitoring Violations

For this report, significant monitoring violations are generally defined as any significant monitoring violation that occurred during the calendar year of the report. A significant monitoring violation, with rare exceptions, occurs when no samples were taken or no results were reported during a compliance period.

Consumer Notification

Every community water system is required to deliver to its customers a brief annual water quality report. This report is to include some educational material, and will provide information on the source water, the levels of any detected contaminants, and compliance with drinking water regulations.

Significant Consumer Notification Violations

For this report, a significant consumer notification violation occurred if a community

water system completely failed to provide its customers the required annual water quality report.

Public Notice Violations

The Public Notification Rule requires all PWS to notify their consumers any time a PWS violated a national primary drinking water regulation or has a situation posing a risk to public health. Notices must be provided to persons served (not just billing consumers).

OBTAINING COPY OF 2014 PUBLIC WATER SYSTEMS REPORT

As required by the Safe Drinking Water Act the **(Insert Name of State)** has made the 2014 Public Water Systems report available to public. Interested individuals can obtain a copy of the 2014 Annual Public Water Systems Report for **(Insert Name of the State)** by accessing: **(Select appropriate means for individual to obtain copy of the Report)**

State Website:

Telephone:

Fax Number:

E-Mail:

Address of Responsible State Department:

Contact Name:

Epa Region	Primacy Agency Code	Violation Category	Rule Group	Rule Name	# of Viols	# of Resolved Viols	# of PWS in Viols
9 AZ		Maximum Contaminant Level Violation	Microbials	TCR	75	49	63
9 AZ		Monitoring and Reporting	Microbials	TCR	1047	907	571
9 AZ		Monitoring and Reporting	Microbials	SWTR	11	0	1
9 AZ		Monitoring and Reporting	Microbials	LT1 ESWTR	49	0	7
9 AZ		Treatment Technique Violation	Microbials	LT2 ESWTR	1	0	1
9 AZ		Monitoring and Reporting	Microbials	GWR	66	58	51
9 AZ		Monitoring and Reporting	DBPs	St1 DBP	416	188	239
9 AZ		Monitoring and Reporting	Chems	VOC	131	89	10
9 AZ		Monitoring and Reporting	Chems	SOC	52	23	6
9 AZ		Maximum Contaminant Level Violation	Chems	Nitrates	29	6	13
9 AZ		Monitoring and Reporting	Chems	Nitrates	49	40	30
9 AZ		Maximum Contaminant Level Violation	Chems	Arsenic	42	2	19
9 AZ		Monitoring and Reporting	Chems	Arsenic	80	49	46
9 AZ		Maximum Contaminant Level Violation	Chems	Other IOC	6	0	2
9 AZ		Monitoring and Reporting	Chems	Other IOC	4	1	3
9 AZ		Maximum Contaminant Level Violation	Chems	Rads	12	0	3
9 AZ		Monitoring and Reporting	Chems	Rads	58	20	7
9 AZ		Monitoring and Reporting	Chems	LCR	327	191	256
9 AZ		Other Violation	Other	CCR	1108	856	372

evans-walker, daria

From: HODGE, DON
Sent: Thursday, June 30, 2016 3:45 PM
To: Lise Soli; Ryan Richards (ryan.richards@azdeq.gov); Jim Stites (SWRCB) (Jim.Stites@waterboards.ca.gov); Marquez, Angel; Zane, Ann T; Joe Kaipat (josekaipat@becq.gov.mp); Loy Atalig (loyatalig@becq.gov.mp); Delfred Gene ; Kieu, Linh; Weeks, Scott@Waterboards
Cc: Banks, Karl; evans-walker, daria; Garcia-Bakarich, Luis; Jenzen, Jacob; Lee, Bessie; Leon-Guerrero, Ephraim; Macler, Bruce; Ryan, Kevin; Yen, Anna
Subject: FW: CY2015 State Public Water System Compliance Reports DUE JULY 1 2016
Attachments: Stateletter ACR CY2015 signed 05192016.pdf; PWS Rpt Guide CY2015.pdf

SDWIS data managers,

I know some agencies are already working on the Annual Compliance Report -- and thanks to you for that -- but the ACR lead at EPA HQ has reminded me that she has not received any ACR submittals that are due tomorrow, and we in Region 9 have found that we did not distribute the ACR guidance when we should have. It is now attached. As noted below, an electronic submittal is fine.

I am happy to help with pulling the data for the report if requested. If you could reply with a brief message on your agency's ACR status, I would much appreciate it. Thanks and regards,

Don

Don Hodge | SDWIS coordinator, Drinking Water Management Section
Water Division | Region 9 | U.S. Environmental Protection Agency
75 Hawthorne Street (WTR-3-1), San Francisco, CA 94105 | (415) 972-3240 | hodge.don@epa.gov

From: Chandler, Joyce
Sent: Thursday, June 30, 2016 6:08 AM
To: [list]
Subject: CY2015 State Public Water System Compliance Reports Submitted DUE JULY 1 2016

Good Morning,

Thank you for supporting your states in developing their CY2015 PWS Compliance reports. I want to send a list of the CY2015 state reports that I have received to date. The reports are due July 1st. As I receive the reports, I am trying to forward them to the appropriate region unless the state has cc'd the region or the region submitted the report for the state. If you have not received the electronic version of your state's report, please let me know. If I am not listing a state that has completed its report, please let me know, so I can update the list. Please let your states know that an electronic version of the annual report is fine.

Region 1 –
Region 2
Region 3 – District of Columbia, Delaware, Virginia
Region 4–
Region 5 – Illinois
Region 6 – Arkansas
Region 7 – Iowa, Nebraska
Region 8 – Colorado, Montana, North Dakota, Utah
Region 9 –

Region 10 - Alaska

Please contact me if you or your states have questions.

I am in the office until midday today, so I can forward you any state reports that I receive. Generally I receive most reports this last week in June. I am out of the office on Friday July 1st.

Joyce

Joyce Chandler
Chemical Engineer
Office of Compliance
202-564-7073

From: Chandler, Joyce

Sent: Thursday, May 19, 2016 3:04 PM

To: Rota, Ken <rota.ken@epa.gov>; Kraft, Nicole <Kraft.Nicole@epa.gov>; Donahue, Lisa <Donahue.Lisa@epa.gov>; Driskell, Amanda <Driskell.Amanda@epa.gov>; Shoven, Heather <shoven.heather@epa.gov>; 'Mlachak, Shirley' <Mlachak.Shirley@epa.gov>; Marquess, Scott <Marquess.Scott@epa.gov>; Pardue-Welch, Kimberly <Pardue-Welch.Kimberly@epa.gov>; Schuster, Jane <schuster.jane@epa.gov>; Winiecki, Eric <Winiecki.Eric@epa.gov>; Lopez, Josie <Lopez.Josie@epa.gov>; Handler, Neil <Handler.Neil@epa.gov>; Souza, Emanuel <Souza.Emanuel@epa.gov>; Sessoms-Midgett, Stephanie <Sessoms-Midgett.Stephanie@epa.gov>; Rasso, Mark <Rasso.Mark@epa.gov>; Bair, Rita <bair.rita@epa.gov>; Lane, Willie <Lane.Willie@epa.gov>; Taheri, Mehdi <taheri.mehdi@epa.gov>; Biggs, Tonia <Biggs.Tonia@epa.gov>; Branning, Hannah <Branning.Hannah@epa.gov>; Baron, Adam <Baron.Adam@epa.gov>; Schuster, Jane <schuster.jane@epa.gov>; Porter, Andrea <porter.andrea@epa.gov>

Cc: Roose, Rebecca <Roose.Rebecca@epa.gov>; Keith, Elinor <Keith.Elinor@epa.gov>; Morris, Renee <Morris.Renee@epa.gov>

Subject: FW: Guidance on Preparing CY2015 Annual State Public Water System Compliance Reports

Regional Drinking Water SDWIS Coordinators & Enforcement Contacts,

FYI. I also included the Ed Messina's letter to the State Drinking Water Administrators with the Guidance to State for preparing for CY2015 Public Water Systems Compliance reports. Your patience is appreciated. Please contact me if you or your state has any questions.

Joyce Chandler
Chemical Engineer
Office of Compliance
202-564-7073

From: Chandler, Joyce

Sent: Thursday, May 19, 2016 2:45 PM

To: amanda.laughlin_la.gov <amanda.laughlin@la.gov>; 'Anna.R.Sartors@tn.gov' <Anna.R.Sartors@tn.gov>; 'angel.marquez@epa.guam.gov' <angel.marquez@epa.guam.gov>; 'William.Moody@msdh.ms.gov' <William.Moody@msdh.ms.gov>; 'monosmithc@michigan.gov' <monosmithc@michigan.gov>; 'ctuckerv@kdheks.gov' <ctuckerv@kdheks.gov>; 'christianera.tuitele@epa.as.gov' <christianera.tuitele@epa.as.gov>; 'cindy.christian@alaska.gov' <cindy.christian@alaska.gov>; 'cindy.forbes@waterboards.ca.gov' <cindy.forbes@waterboards.ca.gov>; 'collin.burrell@dc.gov' <collin.burrell@dc.gov>; 'czecholinski.daniel@azdeq.gov' <czecholinski.daniel@azdeq.gov>; 'david.e.leland@state.or.us' <david.e.leland@state.or.us>; 'dave.mcmillan@illinois.gov' <dave.mcmillan@illinois.gov>; 'baizedg@dhec.sc.gov' <baizedg@dhec.sc.gov>; 'david.lamb@dnr.mo.gov' <david.lamb@dnr.mo.gov>; 'ddh@adem.state.al.us' <ddh@adem.state.al.us>; 'edward.hallock@state.de.us' <edward.hallock@state.de.us>; 'ellen.parrdoering@state.vt.us'; 'gary.chauvin@tceq.texas.gov'

<gary.chauvin@tceq.texas.gov>; 'gwavra@nd.gov' <gwavra@nd.gov>; 'harold.mark@dpnr.vi.gov' <harold.mark@dpnr.vi.gov>; 'howard.isaacs@nebraska.gov' <howard.isaacs@nebraska.gov>; 'javiertorres@salud.gov.pr' <javiertorres@salud.gov.pr>; 'Jeffery.Stone@Arkansas.gov' <Jeffery.Stone@Arkansas.gov>; 'jeffrey.lawson@dep.state.fl.us' <jeffrey.lawson@dep.state.fl.us>; 'jerri.henry@deg.idaho.gov'; 'jessica.godreau@ncdenr.gov' <jessica.godreau@ncdenr.gov>; 'jill.jonas@wisconsin.gov' <jill.jonas@wisconsin.gov>; 'jtaft@asdwa.org' <jtaft@asdwa.org>; 'joanna.seto@doh.hawaii.gov'; 'josekaipat@deg.gov.mp'; 'John.Aulbach@vdh.virginia.gov' <John.Aulbach@vdh.virginia.gov>; 'jdilliard@mt.gov' <jdilliard@mt.gov>; 'June.swallow@health.ri.gov'; 'Karen.Fell@dep.nj.gov' <Karen.Fell@dep.nj.gov>; 'kbousfield@utah.gov' <kbousfield@utah.gov>; 'kevin.frederick@wyo.gov' <kevin.frederick@wyo.gov>; 'Kirk.Chase@dnr.state.ga.us' <Kirk.Chase@dnr.state.ga.us>; 'Idaniels@pa.gov' <Idaniels@pa.gov>; 'Lori.mathieu@ct.gov'; 'mark' <moeller@dnr.iowa.gov>; 'mark.mayer@state.sd.us' <mark.mayer@state.sd.us>; 'mholling@idem.in.gov' <mholling@idem.in.gov>; 'mike.baker@epa.ohio.gov' <mike.baker@epa.ohio.gov>; 'mike.means@doh.wa.gov' <mike.means@doh.wa.gov>; 'mnguyen@ndep.nv.gov' <mnguyen@ndep.nv.gov>; 'Patrick.M.Murphy@wv.gov' <Patrick.M.Murphy@wv.gov>; 'Peter.Goodmann@ky.gov' <Peter.Goodmann@ky.gov>; 'randy.ellingboe@state.mn.us' <randy.ellingboe@state.mn.us>; 'roger.crouse@maine.gov'; 'roger.sokol@health.ny.gov' <roger.sokol@health.ny.gov>; 'ron.falco@state.co.us' <ron.falco@state.co.us>; 'saeid.kasraei@maryland.gov' <saeid.kasraei@maryland.gov>; 'sarah.pillsbury@des.nh.gov' <sarah.pillsbury@des.nh.gov>; 'Shellie.Chard-McClary@deg.ok.gov'; 'Stephanie.Stringer_state.nm.us' <Stephanie.Stringer@state.nm.us>; 'ybarney@navajopublicwater.org' <ybarney@navajopublicwater.org>; 'Yvette.Depeiza@state.ma.us' Cc: Messina, Edward <Messina.Edward@epa.gov>; 'jtaft@asdwa.org' <jtaft@asdwa.org>; 'Anthony DeRosa' <aderosa@asdwa.org>
Subject: Guidance on Preparing CY2015 Annual State Public Water System Compliance Reports

Dear State Drinking Water Administrators:

Please see the attached cover letter from Edward J. Messina, Director, Monitoring, Assistance and Media Programs Division dated May 19, 2015 and the *Guidance on Preparing Calendar Year 2015 Annual State Public Water Systems Compliance Report*.

If you have any questions, please feel free to contact Joyce Chandler at: chandler.joyce@epa.gov, or by phone: 202-564-7073.

Joyce Chandler
Monitoring, Assistance and Media Programs Division
Office of Compliance
Office of Enforcement and Compliance Assurance
202-564-7073

Guidance on Preparing Calendar Year 2015 Annual State Public Water System Compliance Reports

Objectives of this Guidance

This *Guidance on Preparing Annual State Public Water System Compliance Reports (Guidance)* serves two purposes. First, the *Guidance* explains provisions of the Safe Drinking Water Act (SDWA) that require states to prepare annual reports on specific violations found at public water systems (PWS) in their jurisdictions. Second, the *Guidance* provides a recommended format to minimize the burden associated with preparing annual reports.

What Does a State Have to Do?

Under Sections 1414 (c)(3)(A)(i-ii), the SDWA requires each state to submit to the EPA Administrator an annual report of violations. The SDWA also requires that the annual report be made available to the general public.

States are required to:

- prepare an annual report;
- make the annual report available to the general public;
- publish and distribute summaries of the annual report; and
- submit the annual report to EPA.

Does My State Have to Prepare an Annual Report?

SDWA Section 1414 mandates a report from each state, tribe or territory that has primary enforcement authority for drinking water. EPA has determined that most states, the U.S. Territories (Puerto Rico, the United States Virgin Islands, American Samoa, Guam, the Northern Mariana Islands), and the Navajo Nation meet the criteria for exercising primary enforcement authority and must prepare an annual report. EPA retains primary enforcement authority for Wyoming, the District of Columbia, and all Indian country other than the Navajo Nation, and will prepare the reports for those entities.

Has EPA Considered the Burden on States in Preparing the Annual Reports?

EPA has considered the burden on the states, territories and the Navajo Nation in accordance with the Paperwork Reduction Act (PRA) of 1995 (44 U.S.C. 3501). EPA estimates the burden associated with collecting the information for the annual report and submits this to the U.S. Office of Management and Budget (OMB) as required by the PRA. To obtain information on the most recent burden associated with the report refer to EPA Information Collection Request (ICR) No. 1812.04; OMB Control No. 2020-002 at www.regulations.gov.

What Information Goes into an Annual Report?

1. Information about Violations

A. Violations of Primary Drinking Water Standards

The SDWA requires states to report events or lack of activity that constituted a violation of a primary drinking water standard at some point during the year covered by the report. This includes, but is not limited to, those categories of violations specifically enumerated in Section 1414(c)(3)(A)(i). Accordingly, states must report all:

- Maximum contaminant level (MCL) violations
- Maximum residual disinfectant level (MRDL) violations
- Treatment technique requirement (TT) violations
- Significant monitoring and reporting (M/R) requirements violations
- Variances and exemption violations
- Recordkeeping violations
- Significant public notification requirement violations
- Significant consumer confidence report (CCR) notification requirement violations.

Attachment A of this Guidance provides the Safe Drinking Water Information System/Federal Version (SDWIS/FED) violation codes for the violations listed above that states must report in their annual reports. With rare exceptions, "significant"

monitoring and reporting (M/R) violations that must be included in the state's annual report occur when no samples are taken or no results are reported during a compliance period. A significant CCR notification violation occurs when a public water system completely fails to provide the required notification to its users as required. (See **How Does a State Prepare its Annual Compliance Report**, page 5.)

While there are few variances and exemptions currently in effect, states should closely monitor a public water system's compliance with the conditions of its variance or exemption. Any violations must be reported.

For maximum clarity, violation information should be presented in a table format. The table should display, for each contaminant regulated by a national primary drinking water regulation, the number of maximum contaminant level, maximum residual disinfectant levels, or treatment technique (MCL/MRDL/TT) violations and the number of significant M/R violations that occurred during the reporting period. Monitoring and reporting violations related to unregulated contaminants need not be reported. The table should also indicate the number of significant CCR notification violations. Because CCR notification and the public notification violations are public water system-based rather than contaminant-based, the state's report can simply indicate the total number of significant violations of the notification rule.

B. Reporting Period is a Calendar Year

In 1997, EPA and drinking water stakeholders agreed that both state and national annual reports would discuss drinking water violations on a calendar year basis (January 1 – December 31). This means the state's annual report should provide information about all relevant violations during the year covered by the report. This will include:

- Violations that began before January 1 of the year and continued into the year covered by the report
- Violations that ended during the year covered by the report
- Violations at PWS that operated for only part of the year covered by the report, or permanently ceased operations during the year.

If a system returned to compliance before the year covered by the report and remained in compliance throughout the year covered by the report, its violations are not counted.

If a system permanently ceased operations before the end of the year covered by the

report, its prior uncorrected violations are not counted, i.e., if a system permanently ceased operations in 2015, its prior uncorrected violations are not counted.

2. Additional Information

A state's report should contain more than just violations data. Ideally, a state report will explain its purpose, present the statutorily required violations information with a level of explanation adequate to answer questions from the general public, describe the significance of the reported violations, and indicate actions the state will take to protect the public from future violations. States should include the following elements in their reports:

- An introduction explaining the purpose of the report, its statutory origin, and the period of time covered by the report
- A table summarizing the MCL/MRDL/TT and M/R violations in the compliance report categories *i.e.*, chemical contaminant group for volatile organic compounds (VOCs), synthetic organic chemicals (SOCs), inorganic chemicals (IOCs), nitrate, and radionuclides; Lead and Copper Rule (LCR); Total Coliform Rule (TCR); Surface Water Treatment Rule (SWTR), Interim Enhanced Surface Water Treatment Rule (IESWTR), Filter Backwash Recycling Rule (FBRR), Long Term 1 Enhanced Surface Water Treatment Rule (LT1); Disinfectant and Disinfection By-Product Rule (DBPR); and Groundwater Rule (GWR). (See **How Does a State Prepare its Annual Compliance Report**, page 5). The table should indicate how many PWS are responsible for the reported MCL/MRDL/TT and M/R violations in each of the SDWIS/FED Annual Compliance Report (ACR) report categories, provide the total number of PWS with reported MCL/MRDL/TT violations (aggregating all SDWIS/FED ACR report categories), and provide the total number of PWS with reported M/R violations (aggregating all SDWIS/FED ACR report categories). The table should indicate the number of significant CCR notification violations and the public notification violations and the number of PWS with the violations. The table should also provide a grand total of PWS with violations of any type and of any rule category. The table should also include any explanatory text necessary to make the table comprehensible to the general public. Providing separate totals reveals the comparative incidence of different kinds of violations. Providing a grand total of PWS with a violation (counting a system with multiple violations as **one** violating system) allows the reader to determine if the occurrence of violations was distributed across large segments of the state's PWS or if it was confined to a smaller number of PWS, each responsible for many violations
- A discussion identifying violations of any state drinking water standards more

stringent than federal requirements

- A discussion of the number of violations of variances and exemptions during the reporting period, if any, the number of variances and exemptions in effect during the reporting period, and explanatory text necessary to make this information comprehensible to the general public
- A conclusion describing the significance of the numbers of violations reported
- An attached list identifying, at a minimum, the PWS with MCL violations, MRDL violations and/or TT violations. This list, which can consist of a printout of the state's data file, should be available to the general public as part of the full report, and may be omitted from the published summary of the report distributed by the state.

How Does a State Prepare its Annual Compliance Report?

1. Sources of Violations Data

A. SDWIS/FED Reports

Every state supplies information on its PWS and their violations to EPA. This information is then uploaded into SDWIS/FED Data Warehouse (SFDW) (EPA's drinking water database of record). The information is checked and posted or later retrieved from SFDW. The data can be retrieved through ad hoc reports or the Annual Compliance Report from the SDWIS Fed Reporting Services (SFRS).

- i. SFRS Ad hoc Reports – Using SFRS to create ad hoc reports allows greater flexibility to retrieve the desired violation data and to generate it in the desired format for the annual report. For example, using the ad hoc report, one can specify which quarter and year the data is retrieved from the SFDW.
- ii. SFRS Annual Compliance Report – The SFRS Annual Compliance Report extracts the violations for all the rules from SFDW. The standard report provides states with a simple means of retrieving violations information for their annual reports. Attachment B of this Guidance explains how a state can use SDWIS/FED to generate the AC standard report and any associated queries for retrieving needed information for their annual PWS compliance reports.

Because violations of variance and exemptions are rare, the Annual Compliance Report may not be designed to retrieve information on this type of violation. States may elect to discuss the numbers (or lack) of variance and exemptions violations in the narrative portion of their reports.

B. State Databases

A state that reports violations information from its stand-alone database or from other non-SFDW sources should ensure that these other data sources and SFDW contain identical information. Reporting data different from what the state has already submitted in its own quarterly reports to SFDW could confuse the general public, resulting in requests for explanations.

States that elect not to use the SFRS Annual Compliance Report should consult the rule-specific violation criteria in Attachment A when determining violation counts. This will ensure consistency with data already reported to SFDW.

2. Tables and Lists

A. SFRS Annual Compliance Report

The Annual Compliance Report can generate a state-specific violations table suitable for inclusion in a state's annual report. Attachment B of this Guidance explains how states can use SFDW to generate the SFRS Annual Compliance Report and any associated queries for retrieving needed information for their annual reports.

B. The Details by PWS ID from the Report Specific tab

EPA also makes available with the Annual Compliance Report, a detailed listing of violations and enforcement actions along with basic information on the PWS, such as location, size and population served. Attachment B of this Guidance explains how states can use the Annual Compliance Report to generate the Details by PWS ID portion.

C. State Databases

If a state relies on data from its own sources to compile its annual report, the state's report should include a table that presents violations data in a format similar to the table generated by the SFRS Annual Compliance Report for that year.

States should also recognize that the general public may want to know which PWS is responsible for the reported violations. It may be more efficient for a state to include a list of PWS and their violations as part of its publicly available annual report than for the state to later generate such lists in response to requests for explanations.

3. Narrative Portions

State reports are more effective when they provide more information. Attachments C and D of this Guidance present recommendations for including narrative information in the annual report. States are encouraged to use text from these attachments, where appropriate, in their reports to give the general public a more comprehensive account of the state's PWS Supervision program and the significance of reported violations.

When Does a State Begin Preparing its Annual Report?

A. States Using SFDW Violations Data

EPA recommends that a state use the SFRS Annual Compliance Report and the details portion of the report to generate data for its annual report. The state can then compare its data with the SDWIS/FED April database. This allows the state to draw from the same violations maintained in SDWIS/FED.

B. States Using Other Data Sources

If a state relies on a non-SFDW database to generate violations data for its annual report, EPA recommends that the state use a database frozen immediately after the last of the state's data submissions to SFDW prior to EPA's April 1 freeze date. This will ensure that the state's database and SFDW contain the same violations data, and simplify the identification of any subsequent updates or corrections to the state's database when data is appropriately entered. A state that chooses not to use violations data from SFDW may begin preparing its annual report as soon as it believes it has reliable data.

When Does a State Make its Annual Report Available to the General Public?

When EPA and drinking water stakeholders agreed that the annual reports would

discuss violations during a calendar year, they also agreed that the state reports would be made available to the general public by July 1 of the following year. This allows states time (after the close of a calendar year) to update the SFDW database, which EPA will freeze in April. It also gives the states time to use the frozen SFDW database to prepare their annual reports.

How Does a State Publish and Distribute Summaries of its Full Report and Make its Annual Report Available to the General Public?

In SDWA Section 1414(c)(3)(A)(ii), Congress requires states to publish and distribute summaries of the full report and identify where the full report is available for review. Suggested methods for meeting these requirements include:

- Displaying the summary and an official notice of the availability of the full report in area newspapers
- Conducting press conferences when the report becomes available, incorporating notices about the report into standard press conferences, or issuing press releases with the summary
- Preparing notices for distribution in public libraries and other public buildings
- Distributing copies of the summary to public information offices, libraries, and state/local departments of health and making the full report available at the same locations
- Posting the summary and the full report on local and state websites
- Using other methods that the state's experience has shown to be effective.

EPA anticipates that many states, to avoid duplication of effort, will use portions of the full report as the summary for their reports. Each state's annual report should indicate how the state satisfied the SDWA requirement to publish and distribute a summary of the full report and how the full report has been made available to the general public.

When Does a State Submit its Annual Report To EPA?

States should submit copies of their annual reports to EPA on July 1 of the year following the calendar year that is the subject of the report. Therefore, the 2015 report is due by July 1, 2016.

How Does a State Submit its Annual Report To EPA?

Reports should be submitted via email to chandler.joyce@epa.gov along with a web address if the report is posted on a publicly accessible website. Alternatively, hard copy reports can be sent to the following address:

Annual PWS Compliance Report
U.S. Environmental Protection Agency
1200 Pennsylvania Avenue, N.W. - Mail Code 2227A
Washington, DC 20460
Attn: Joyce Chandler

Questions can be directed to Joyce Chandler at 202-564-7073.

Attachment A

RULE-SPECIFIC VIOLATION CRITERIA FOR THE ANNUAL PUBLIC WATER SYSTEMS COMPLIANCE REPORT

Details by Rule – Violation and Contaminant Codes

Chemical Contaminant Group

Maximum Contaminant Level (MCL – 01, 02); Monitoring & Reporting (M/R - 03,04)

Volatile Organic Contaminants (VOCs)

2378/ 80,

2955/ 64/ 68/ 69/ 76/ 77/ 79/ 80/ 81/ 82/ 83/ 84/ 85/ 87/ 89/ 90/ 91/ 92/ 96

Synthetic Organic Contaminants (SOCs)

2005/ 10/ 15/ 20/ 31/ 32/ 33/ 34/ 35/ 36/ 37/ 39/ 40/ 41/ 42/ 43*/ 44*/ 46/ 47*/ 50/

51/ 63/ 65/ 67,

2105/ 10,

2274/ 98,

2306/ 26/ 83/ 88/ 90/ 92/ 94/ 96/ 98,

2400,

2931/ 46/ 59

Inorganic Contaminants (IOCs)

1038, 1040, 1041,

1005/ 10/ 15/ 20/ 24/ 25/ 35/ 36*/ 45/ 74/ 75/ 85/ 94

Treatment Technique (TT)

07/2265, 2257

OTHER

05/All VOCs, SOCs and IOCs

08

Radionuclides

(MCL – 01, 02); (M/R - 03, 04)

4000/ 06/ 10, 4100/ 01/02/ 74

OTHER

08

Surface Water Rules (SWTR/IESWTR/LT1SWTR/LT2SWTR/FBRR)

M/R

31/0200, 31/0800, 36/0200, 36/0800 and major indicator flag = 'y'

29/0300 and major indicator flag = 'y'

38/0300 and major indicator flag = 'y'

32/0800 LT2

32/0100 Turbidity

32/3014

32/3015

Treatment Technique (TT)

37/0800
40/0500
41/0200
42/0200
37/0300
43/0300
44/0300
47/0300

33/0800 LT2
41/0800 LT2
42/0800 LT2
45/0800 LT2
47/0800 LT2

Other

09/0300
09/0500
09/0800
20/0800

Total Coliform Rule (TCR)

M/R

23/3100
25/3100

MCL

21/3100
22/3100

OTHER

05/3100
28

Disinfection Byproducts Rule (Stage 1 & 2 DBP)

MCL and MRDLs

02/1009
02/2950
02/2456
02/1011
11/1008
11/1006
11/0999
13/1008

Treatment Technique (TT)

12/0400

46/2920
M/R (only majors - major indicator flag = 'y')
27/2920
27/1009
27/1011
27/2456
27/2950
27/1006
27/1008
27/0999
30/0600 DBPR2
30/2456 HAA5
30/2950 TTHM
35/0600 DBPR
35/2456
35/2950
Other
09/0600

Lead and Copper Rule (LCR)

Treatment Technique (TT)

57/5000
58/5000
59/5000
63/1022
63/1030
64/5000
65/5000

M/Rs

51/5000
52/5000
53/5000
56/5000
66/5000

Other

05/5000
09/5000

Groundwater Rule (GWR)

Treatment Technique (TT)

41/0700-GWR
42/0700-GWR
45/0700-GWR
48/0700-GWR

M/R

19/3002, 3014, 3028

31/0700-GWR

34/3002, 3014, 3028

Other

05/0700-GWR

09/0700-GWR

20/0700-GWR

28/0700-GWR

73/0700-GWR

Consumer Confidence Report (CCR)

71/7000

Public Notice (PN)

75/7500

Note: Contaminant codes with an * represent contaminants that are required for monitoring/reporting violations only.

of violations

This represents a count of the number of violations for the specific contaminant/rule occurring during the calendar year of the report that have NOT returned to compliance (RTC'd). The links of the violations to enforcements needs to be made in order to determine this. Links to the following enforcement action codes need to be made for each violation that qualifies for the report calendar year – SOX, EOX, ETX, ESX. Links to ESX and ETX need to be made using the following table – dbo_ViolAssoc.

The violations that qualify will meet the following date selection criteria:

Begin date <= last date of the calendar year 12/31/xx.

End date >= begin date of the calendar year 1/1/xx.

This report will run against the 1st quarter April freeze, e.g., (FY2015Q1).

of RTC'd violations

This represents the number of violations from the step above that have RTC'd during the calendar year, i.e., the violation has one of the following enforcement codes SOX, EOX, ETX, ESX, with dates that are during the calendar year of the report (between 1/1/xx and 12/31/xx).

SDWIS/Reporting Services Report-Prime Specific Tab for Annual Compliance Report Options.

- **Annual Compliance Summary Report**
- **Detail by Chemical**
- **Display Detail by Rule**
- **Display Detail by PWS ID**

Attachment B

Instructions for Accessing Reports from SDWIS FED Reporting Services

The EPA has created a SDWIS Fed Reporting Services that states can run and the output can be include in a state's Annual Compliance Report (ACR). The SDWIS Fed Reporting Services can also be used as a tool for data reconciliation for between SDWIS/FED and state databases for the Chemical Contaminant Group, Total Coliform Rule (TCR), Surface Water Treatment Rule (SWTR), Interim Enhanced Surface Water Treatment Rule (IESWTR), Long Term 1 Surface Water Treatment Rules (LT1SWTR), Long Term 2 Surface Water Treatment Rule (LT2SWTR), Lead & Copper Rule, Stage 1 & Stage 2 MDBP, Public Notification Rule, Consumer Confidence Report, and Groundwater Rule.

The SDWIS Fed Reporting Services contains four reports for the state's ACR. The first, and the default, is the Annual Compliance Summary Report. The other three, which needs to be selected by the user, provides a detail report by Annual Compliance Detail by Chem, Annual Compliance Detail by Rule, and Annual Compliance Detail by PWS. These reports are described below.

Annual Compliance Report

(Summary Annual Compliance Report)

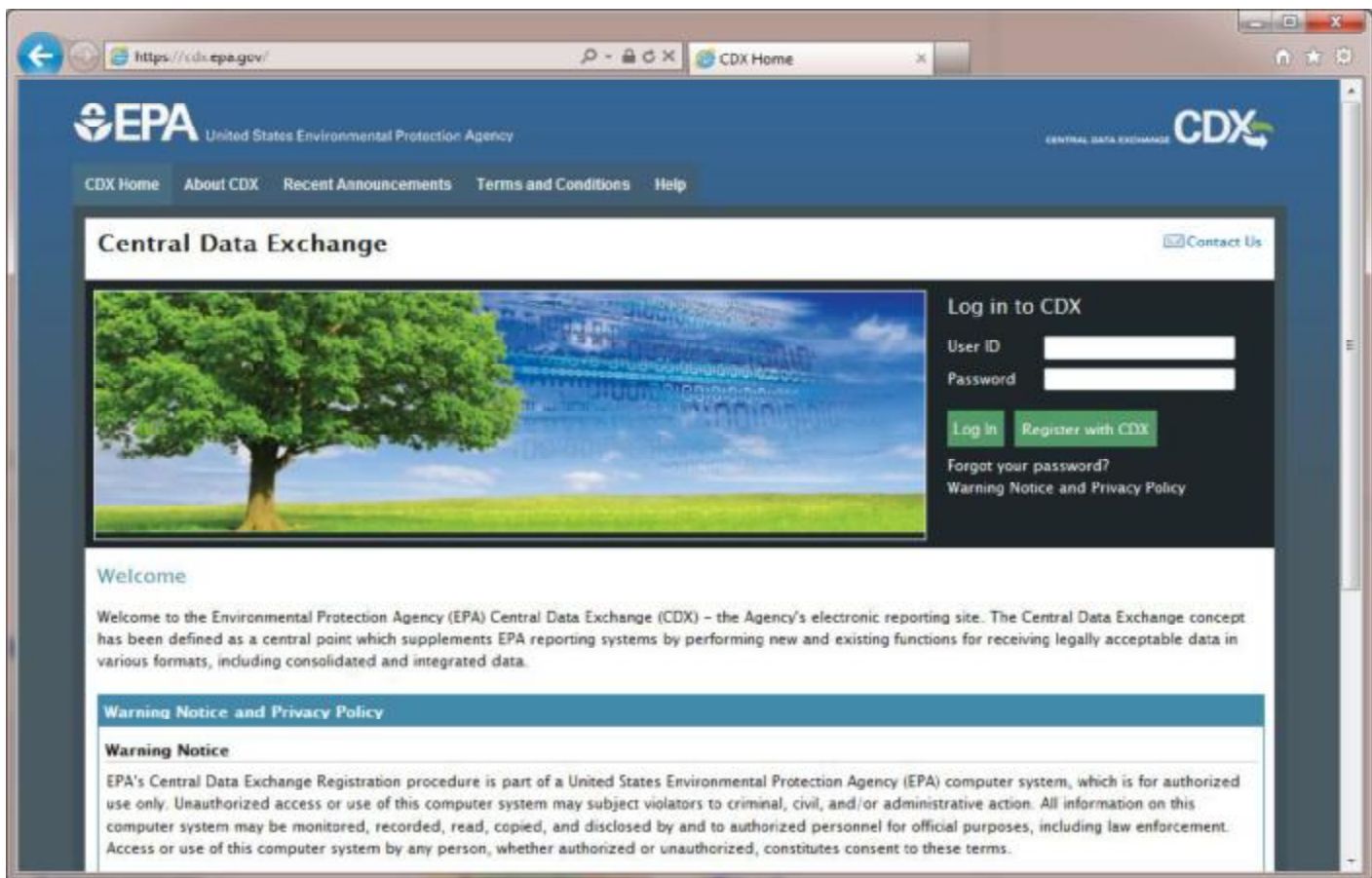
The Summary Annual Compliance Report is designed to provide summary counts of violations and water systems during the calendar year of the ACR. This report will provide for each contaminant regulated by a national primary drinking water regulation, the numbers of maximum contaminant level (MCL) and treatment technique (TT) violations, the number of significant monitoring/reporting (M/R) violations, and the number of significant consumer confidence report and public notice violations for the calendar year 2015. This report will also indicates the number of systems responsible for the reported violations of these types in each of the significant violations categories (*i.e.*, chemical contaminant group for VOCs, SOCs, IOCs, nitrate and radionuclides; lead and copper rule, surface water treatment rule, total coliform rule, and such other categories as may be appropriate in future reports. This report also provides a total number for all systems with reported violations of the significant violation categories (aggregating all violation categories) and a grand total of all systems with violations of any type and for any rule category.

Listed below are the steps to generate the Annual Compliance standard reports, which include the Summary Annual Compliance Report and the three Annual Compliance Detail. An example of this report is provided at the end of the attachment.

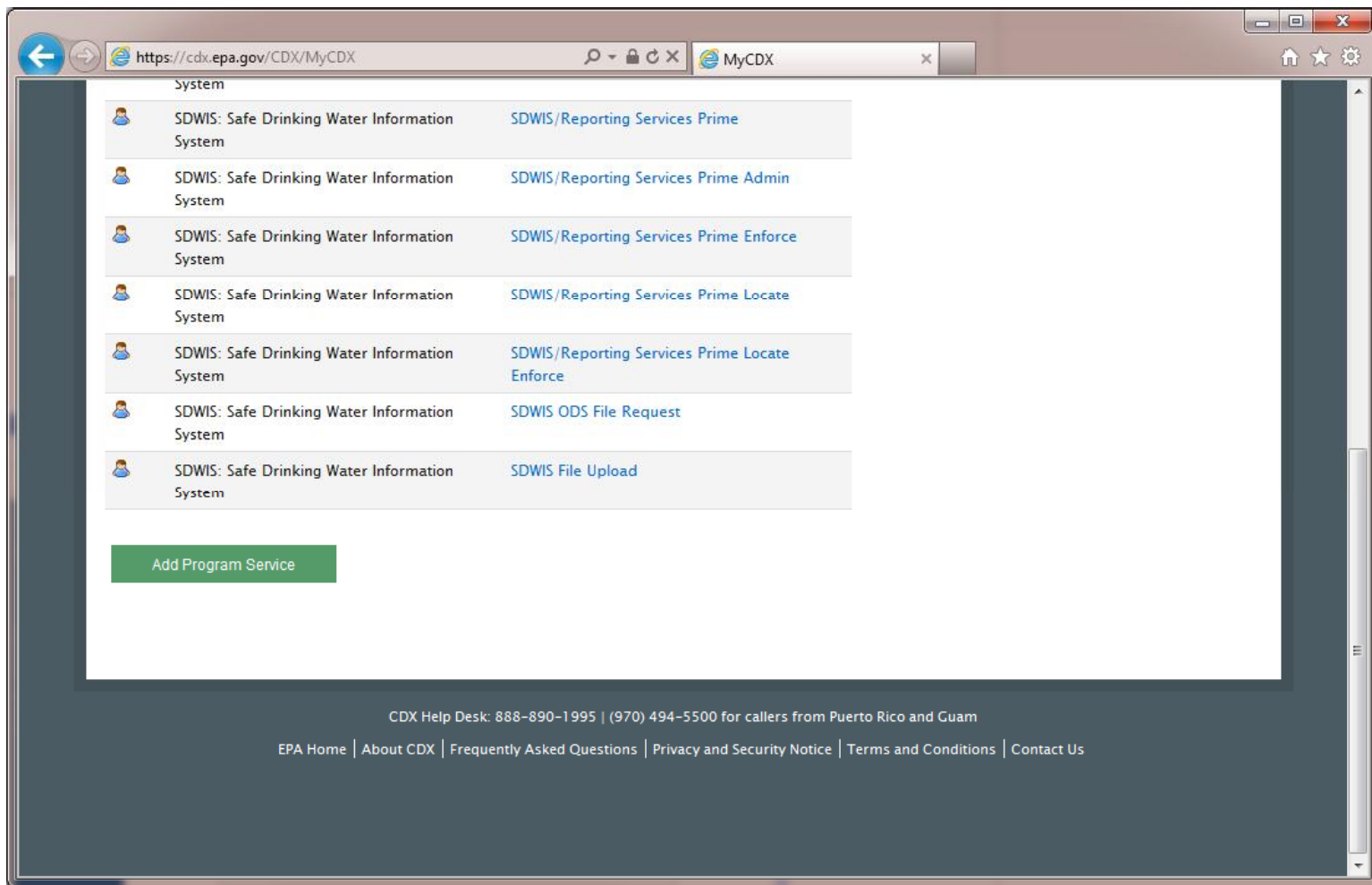
Details by PWS ID from the Report Specific tab

This portion of the report provides the detailed listing of violations and enforcement actions, if any, as well as inventory information for the required list of public water systems (PWSs) during the period of the ACR.

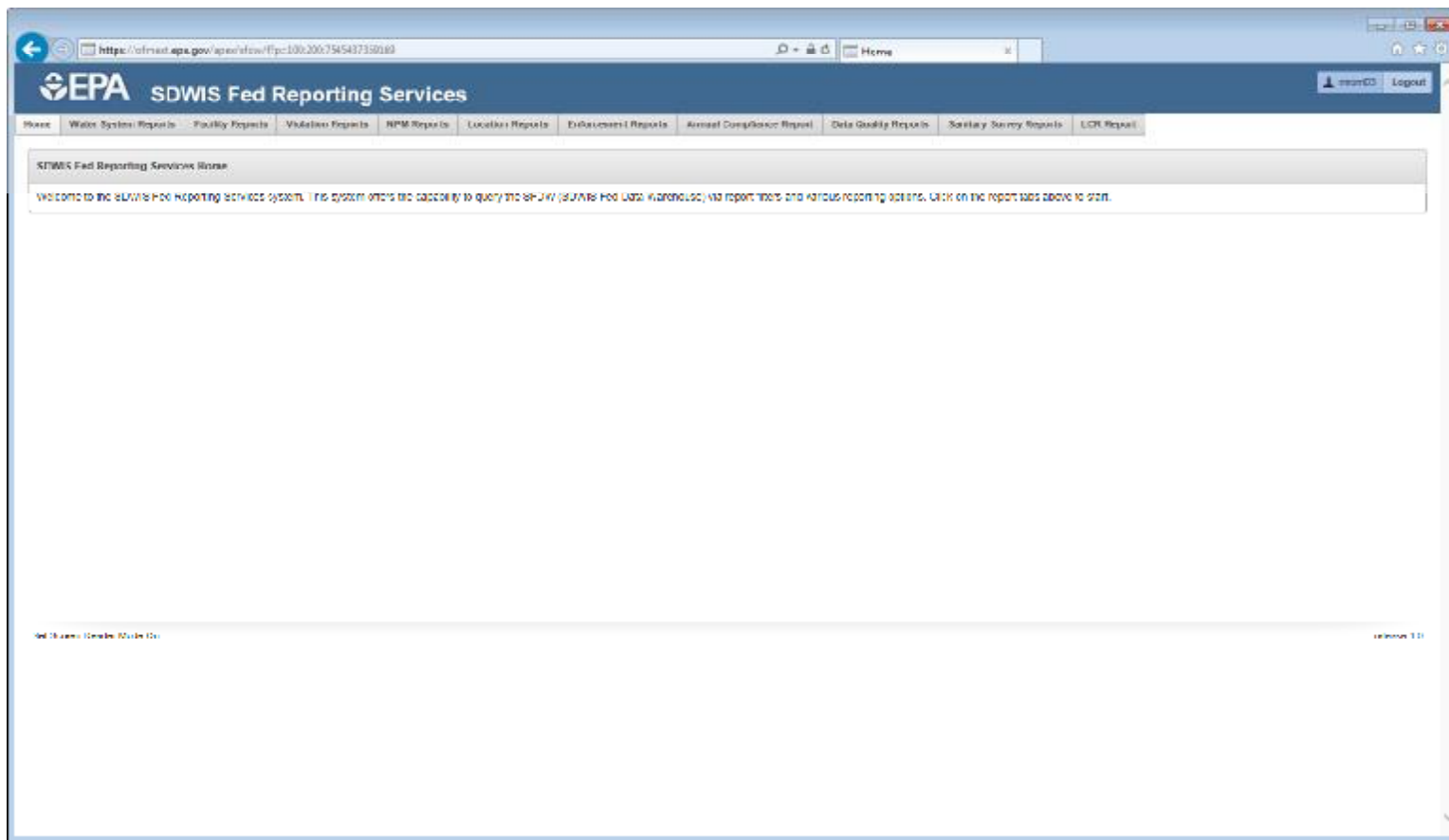
To run SDWIS FED Reporting Services, users must be authorized to use the Central Data Exchange SDWIS Reporting Services to access the reports. If you do not have such authorization, contact your regional SDWIS/FED coordinator for assistance in obtaining access.



- Connect and log into EPA's Central Data Exchange website at <https://cdx.epa.gov>



- Select SDWIS:SDWIS/Reporting Services Prime in the second column



- Click on the “Annual Compliance Report” Tab at top of the page.

Annual Compliance Report Filters

Water systems

Filter by Year: County: NPM Facilities:

EPA Region: Primacy Agency: OW or RW:

Annual Compliance Report Date:

Show All Water System Characteristics Violation Filters

Water System Characteristics

PWS Type: OW or RW:

Primary Source: Activity Status:

Violation Filters

Rule: Violation:

Contaminant: Rule Category:

Violation Category: Health Effect:

- Select a Region from the “EPA Region”
- Select a state from the “Primacy Agency” listing, scrolling to and clicking the appropriate primacy agency.
- The current “Annual Compliance Report Date” is defaulted.
- Click on “View Reports” on the top right side of the screen to run the report.

https://efmnet.epa.gov/efmnet/f?p=10025:7545437552166::RCR3_23,25,26,27: Annual Compliance Report...

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports **AWR Reports** Location Reports Enforcement Reports Annual Compliance Report Data Quality Reports Sanitary Survey Reports LCR Report

Report Filters Annual Compliance Report Filters

Select Report: **Annual Compliance Summary Report**

Submission Year is 2015 and Quarter is 1 and LPA Region is 00 and Primary Agency is 001 and Annual Compliance Report Date is 11/10/2014 and Annual Compliance Report Date is 12/31/2014

Q: Go Reports: 1 Primary Report Rows: 50 Actions +

Break:

Rule Group	Rule Name	# of Viol	# of Resolved Viol	# of PWS in Viol
Microbial	TSS	70	1	128
Microbial	NTU	2	0	2
Microbial	SDA	1	0	1
Chemical	Nitrate	2	3	6
Chemical	Ammonia	2	0	3
Chemical	Fluoride	2	0	2
		77	4	140

Break:

Rule Group	Rule Name	# of Viol	# of Resolved Viol	# of PWS in Viol
Microbial	TSS	70	0	128
Microbial	NTU	2	1	2
Microbial	SDA	1	0	1
Microbial	Fluoride	17	0	30
Chemical	SDA	17	0	30

- When the report is completed, the first report displayed is the Annual Compliance Summary Report.
- The filter selection is below the “Select Report” line and describes all filters used for the report. This will change if any other filters are chosen when reviewing the reports.

https://efmst.epa.gov/efmst/f?p=100:25:754547352166::WCRP,23,25,26,27: Annual Compliance Report...

EPA SDWIS Fed Reporting Services mm02 Logout

Home Water System Reports Facility Reports Violation Reports **SPR Reports** Location Reports Enforcement Reports Annual Compliance Report Data Quality Reports Sanitary Survey Reports LCR Report

Report Filters Annual Compliance Report Filters

Select Report: Annual Compliance Summary Report
 Subsystem Year of: 00 and Primary Agency of: 001 and Annual Compliance Report Date of: 01/01/2014 and Annual Compliance Report Date of: 12/31/2014

Go Reports: 1 Primary Report Rows: 50 Actions +

Break:

EPA Region	Primary Agency Code	Violation Category	Maximum Contaminant Level	Violations
Rule Group	Rule Name	# of Vols	# of Resolved Vols	# of PWS in Vols
Microbial	TOR	791	1	128
Microbial	NT100	2	0	2
Microbial	ST100	1	0	1
Chemical	Nitrate	7	3	6
Chemical	Ammonia	7	0	3
Chemical	Phos	7	0	3
		794	4	131

Break:

EPA Region	Primary Agency Code	Violation Category	Monitoring and Reporting	
Rule Group	Rule Name	# of Vols	# of PWS in Vols	
Microbial	TOR	307	0	248
Microbial	NT10	5	1	7
Microbial	ST10	4	1	11
Microbial	ST10	17	18	83
CRPs	SH100	47	3	26

- The drop down on the “Select Report” lists the 4 reports (Annual Compliance Summary Report, Annual Compliance Details by Chem, Annual Compliance Details by Rule, and Annual Compliance Detail by PWS) that can be retrieved for the original filter criteria.
- Specific data from the summary table can be retrieved by clicking on the specific data fields in the summary report.

[Home](#)
[Water System Reports](#)
[Facility Reports](#)
[Violation Reports](#)
[NFW Reports](#)
[Location Reports](#)
[Enforcement Reports](#)
[Annual Compliance Report](#)
[Data Quality Reports](#)
[Sanitary Survey Reports](#)
[LCR Report](#)

[Annual Compliance Report Filters](#)

Select Report: [Annual Compliance Data by Chem](#)

Submission Year of SMPB and GWB in T and LFA Region is (10) and Privacy Agency is (03) and Annual Compliance Report Date is 1/18/2014 and Annual Compliance Report Date is 12/18/2014

Go Reports 1 Primary Report Rows 500 Actions

Break:

EPA Region	Privacy Agency Code	State Facility	ICD	Violation Category	Violations Contaminant	New Violation
Comminant Code	Comminant	# of Violations	# of Resolved Violations	# of PWS Is Violation		
Nitrate	Nitrate	14	4	4		
		0	2	0		

1 of 1

[Equal and the CTR's website](#)

[Set Report Breaks Break On](#)

1/18/2014

- Above is the specific data from the summary table which was retrieved by clicking on the “chems” under the rule group for “nitrate” specific data field from the original summary report.

[Home](#)
[Water Systems Reports](#)
[Facility Reports](#)
[Violation Reports](#)
[NPL Reports](#)
[Location Reports](#)
[Enforcement Reports](#)
[Annual Compliance Report](#)
[Data Quality Reports](#)
[Sanitary Survey Reports](#)
[LCR Report](#)

Report Filters Annual Compliance Report Filters

Select Report: Annual Compliance Detail by Rule

Submission Year of SDIS and Location of T and LFA Report is 2013 and Privacy Agency is 003 and Annual Compliance Report Date is 11/15/2014 and Annual Compliance/Report Date is 12/31/2014

Go Reports: Primary Report Rows: 100 Actions:

EPA Region = 10
 Annual Compliance Rule = 10
 Data Quality = 10
 Violation Category Code = 'WCL'
 Error

1 - 2 of 2

Break:

EPA Region	Privacy Agency Code	Rule Name	Nitrates
10	003	10	

Violation Code	Violation Type Description	# of Violations	# of Resolved Violations	# of PWS in Violation
01	010 - Excess Nitrate	1	0	1
02	020 - Nitrate	1	0	1
		2	0	2

1 - 2 of 2

Report runtime 0.79 seconds.

2nd Submission for Rule 10

Page 1 of 1

- Above is the specific data from the summary table which was retrieved by clicking on the “Nitrates” under the Rule Name for “nitrate” specific data field from the original summary report.

Annual Compliance Report...

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports NPRI Reports Location Reports Enforcement Reports Annual Compliance Report Data Quality Reports Sanitary Survey Reports LCR Report

Report Filters

Select Report: Annual Compliance Detail by Chem

Submission Year is 2015 and Quarter is 1 and EPA Region is 10 and Primary Agency is 001 and Annual Compliance Report Date is 11/10/2015 and Annual Compliance Report Date is 12/03/2015

Go Reports: 1 Primary Report Rows: 500 Actions

17 of 17

Break:

EPA Region	10	Primary Agency Code	ID	Rule Family	SWR	Violator Category	Work Item and Reporting
Contaminant Code	Contaminant	# of Violations	# of Resolved Violations	# of PWS in Violation			
2014	1000	120	74	13			
		120	74	13			

Break:

EPA Region	10	Primary Agency Code	ID	Rule Family	SWR	Violator Category	Other Violation
Contaminant Code	Contaminant	# of Violations	# of Resolved Violations	# of PWS in Violation			
1010	1200000000 1010000000	131	74	14			
		131	74	14			

Break:

EPA Region	10	Primary Agency Code	ID	Rule Family	SWR	Violator Category	Treatment Technique Violation
Contaminant Code	Contaminant	# of Violations	# of Resolved Violations	# of PWS in Violation			
1010	0000000000 0000000000	248	77	19			
		248	77	19			

Break:

EPA Region	10	Primary Agency Code	ID	Rule Family	SWR	Violator Category	Treatment Technique Violation
Contaminant Code	Contaminant	# of Violations	# of Resolved Violations	# of PWS in Violation			
1010	0000000000 0000000000	248	77	19			
		248	77	19			

- Above is the specific data from the original filter retrieved by clicking on the “Select Report” drop down for Annual Compliance Detail by Chem.

https://efms.epa.gov/efms/efms/F?p=100&CFRULE=75453739060-90

Annual Compliance Report...

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports NPRI Reports Location Reports Enforcement Reports Annual Compliance Report Data Quality Reports Sanitary Survey Reports LCR Report

Report Filters **Annual Compliance Report Filters**

Select Report: Annual Compliance Detail by Rule

Submission Year is 2015 and Quarter is 1 and LCR Agency is 001 and Annual Compliance Report Date is 11/10/2014 and Annual Compliance Report Date is 12/03/2014

Go Reports: 1 Primary Report Rows: 100 Actions

EPA Region: 10
 Primary Agency Code: 001
 LCR

1 of 1

Track:

EPA Region	Primary Agency Code	ID	Rule Name	QAR
Violation Code	Violation Type Description	# of Violations	# of Revoked Violations	# of PWS in Violation
02	WLA, WPCQ	2	0	2
02	Monitoring Program	1	0	1
		0	0	3

Track:

EPA Region	Primary Agency Code	ID	Rule Name	QAR
Violation Code	Violation Type Description	# of Violations	# of Revoked Violations	# of PWS in Violation
19	Failure to Conduct Assessment Monitoring	6	4	4
20	Failure to Conduct Self-Audit	21	19	21
24	Monitoring Source Water (QAR)	112	15	91
25	Failure To Assess Deficiency	249	25	69
		403	103	215

Track:

EPA Region	Primary Agency Code	ID	Rule Name	LCR
------------	---------------------	----	-----------	-----

- Above is the specific data from the original filter retrieved by clicking on the “Select Report” drop down for Annual Compliance Detail by Rule.

https://efmest.epa.gov/efmest/f?p=100:ACR:PWS:35454735269::RD Annual Compliance Report...

EPA SDWIS Fed Reporting Services

Home Water System Reports Facility Reports Violation Reports NPL Reports Location Reports Enforcement Reports Annual Compliance Report Data Quality Reports Sanitary Survey Reports LCR Report

Report Filters Annual Compliance Report Filters

Select Report: Annual Compliance Detail by PWS

Submission Year is 2015 and Quarter is 1 and LHA Region is 100 and Agency is 001 and Annual Compliance Report Date is 11/10/2014 and Annual Compliance Report Date is 12/03/2014

Go Reports: 1 Primary Report Rows: 1000 Actions

1000 of 1000

PWS Info:

EPA Region	10	Primary Agency	10	PWS ID	10100005	PWS Name	CHERRY CREEK TRAILER PARK
PWS Type	CWS	Owner Type Code	Private	Primary Source	CWS	Population	51
Water System Address	10100005 10100005 10100005						

Contaminant Code	Contaminant Name	Violation Category Code	Violation Id	Compliance Period Begin Date	Compliance Period End Date	Enforcement Action Type Code	Enforcement Date	RTC Date	Resolved Date	PWS I
1110	Chlorine (H30)	NR	1110	11/10/2014	11/10/2014	NR	11/10/2014	-	-	-
1110	Chlorine (H30)	NR	1110	11/10/2014	11/10/2014	NR	11/10/2014	-	-	-
1110	Chlorine (H30)	NR	1110	11/10/2014	11/10/2014	NR	11/10/2014	-	-	-
1110	Lead and Copper Rule	NR	1110	11/10/2014	11/10/2014	NR	11/10/2014	-	-	-

PWS Info:

EPA Region	10	Primary Agency	10	PWS ID	10100005	PWS Name	CHERRY CREEK TRAILER PARK
PWS Type	CWS	Owner Type Code	Local government	Primary Source	CWS	Population	51
Water System Address	10100005 10100005 10100005						

Contaminant Code	Contaminant Name	Violation Category Code	Violation Id	Compliance Period Begin Date	Compliance Period End Date	Enforcement Action Type Code	Enforcement Date	RTC Date	Resolved Date	PWS I
1110	Chlorine (H30)	NR	1110	11/10/2014	11/10/2014	NR	11/10/2014	-	-	-

- Above is the specific data from the original filter retrieved by clicking on the “Select Report” drop down for Annual Compliance Detail by PWS.

https://efms.epa.gov/efms/efms/100ACFSLMMAAR754543739169.rnd Annual Compliance Report... Adobe Connect Log in

EPA SDWIS Fed Reporting Services mm02 Logout

Home Water System Reports Facility Reports Violation Reports NPRI Reports Location Reports Enforcement Reports Annual Compliance Report Data Quality Reports Sanitary Survey Reports LCR Report

Report Filters Annual Compliance Report Filters

Select Report:

Submission Year is 2015 and Quarter is 1 and LPA Region is 10 and Primary Agency is 001 and Annual Compliance Report Date is 11/10/2014 and Annual Compliance Report Date is 12/03/2014

Go Reports: 1 Primary Report Rows: 50 Actions +

1 of 22

Break:

EPA Region	10	Primary Agency Code	01	Violation Category	Maximum Contaminant Level Violation
Rule Group	Rule Name	# of Viola	# of Resolved Viola	# of PWS in Viola	
Microbial	TOR	791	1	128	
Microbial	NO1100	2	0	2	
Microbial	NO1100	1	0	1	
Chemical	Nitrate	7	3	0	
Chemical	Ammonia	7	0	3	
Chemical	Radon	7	0	3	
		794	4	131	

Break:

EPA Region	10	Primary Agency Code	01	Violation Category	Monitoring and Reporting
Rule Group	Rule Name	# of Viola	# of Resolved Viola	# of PWS in Viola	
Microbial	TOR	307	0	248	
Microbial	NO1100	2	1	7	
Microbial	NO1100	1	1	1	
Microbial	NO1100	17	18	83	
CRPs	SH1000	47	3	26	

Select Columns

- HIST
- WWSR HIST
- Formal
- SDAC REPORT
- NOCC
- Link
- Download

- Each report can be retrieved by clicking the “Actions” button and choosing “Download”.

Attachment C

Suggested Additional Information Regarding Public Water Systems

Although SDWA Section 1414(c) allows states to produce a report that provides only the numbers and types of violations, EPA encourages states to provide additional information in their annual reports. Information of the type described would help a reader of the report place violations data in context and promote better understanding of the significance of those violations.

General information on the inventory of public water systems in the state, such as:

1. The numbers, sizes, and types of public water systems.
2. The percentage of public water systems that are of each size and type.
3. The total number of customers served by public water systems.
4. The number of customers served by each type of public water system.
5. The sources of the state's drinking water.
6. The annual volume of water treated by the state's public water systems.
7. The percentage of the state's public water systems that are in compliance with state and federal drinking water regulations.
8. The overall condition of public drinking water delivery in the state.

Additional information regarding violations and compliance, such as:

1. A comparison of the total number of water systems in the state, the percentage of water systems with a violation by size of system, type of system, and type of violation.
2. The percentage of violating systems that have returned to compliance and the number in each violation category that have returned to compliance.
3. The numbers, sizes, and types of systems that are repeat violators.
4. The numbers of significant noncompliers.
5. The total number of tests performed for each SDWIS contaminant and violation code.
4. The number of violations as a percentage of the total number of tests performed.
5. The main compliance issues concerning each rule and efforts to improve compliance within these categories pertaining to compliance assistance, compliance monitoring, and/or compliance incentives.
6. Explanations of compliance assistance programs, the types of compliance assistance efforts a state conducts, and the state's policy and methods of implementation.

7. The components of a compliance assistance program which can be counted, such as the numbers of visits to systems to assist in complying with regulations.
8. Management approaches that the State is using to resolve problems indicated by the violations.
9. The use of environmental indicators.

Additional information regarding variances and exemptions:

1. The contaminants for which the state has granted a variance or exemption.
2. The date on which a variance or exemption became or will become effective.
3. The date on which a variance or exemption expired or will expire.
4. The value used to represent a modified MCL that has been approved as a condition of a variance or exemption.
5. The value used to represent an alternative treatment process that has been approved as a condition of a variance or exemption.

Trends in environmental management:

1. Any trends that the data may indicate.
2. Trends in the state's environmental management of drinking water systems and the reporting of violations.

Attachment D

Model Program Description Language

Although SDWA Section 1414(c) does not require that a state's report do more than report the numbers of violations of primary drinking water standards at its public water systems, background information on the drinking water program would help the public better understand the meaning and importance of the noted violations. EPA encourages states to incorporate the following text, or something similar, into their annual reports.

The Drinking Water Program: An Overview

The EPA established the Public Water System Supervision (PWSS) Program under the authority of the 1974 Safe Drinking Water Act (SDWA). Under the SDWA and the 1986 Amendments, EPA sets national limits on contaminant levels in drinking water to ensure that the water is safe for human consumption. These limits are known as Maximum Contaminant Levels (MCLs) and the Maximum Residual Disinfectant Levels (MRDLs). For some regulations, EPA establishes treatment techniques in lieu of an MCL to control unacceptable levels of contaminants in water. The Agency also regulates how often public water systems (PWSs) monitor their water for contaminants and report the monitoring results to the states or EPA. Generally, the larger the population served by a water system, the more frequent the monitoring and reporting (M/R) requirements. In addition, EPA requires PWSs to monitor for unregulated contaminants to provide data for future regulatory development. Finally, EPA requires PWSs to notify their consumers when they have violated these regulations. The 1996 Amendments to the SDWA require consumer notification to include a clear and understandable explanation of the nature of the violation, its potential adverse health effects, steps that the PWS is undertaking to correct the violation and the possibility of alternative water supplies during the violation.

The SDWA applies to the 50 states, the District of Columbia, Indian Lands, Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

The SDWA allows states, tribes and territories to seek EPA approval to administer their own PWSS Programs. The authority to run a PWSS Program is called primacy. For a state to receive primacy, EPA must determine that the state meets certain requirements laid out in the SDWA and the federal regulations, including the adoption of drinking water regulations that are at least as stringent as the federal regulations and a demonstration that they can enforce the program requirements. Of the 56 states and territories, all but Wyoming and the District of Columbia have primacy. The EPA regional offices administer the PWSS programs within these two jurisdictions.

The 1986 SDWA Amendments gave Indian tribes the right to apply for and receive primacy. EPA currently administers PWSS programs on all Indian lands except the Navajo Nation, which was granted primacy in late 2000.

Annual State PWS Report

Each quarter, primacy agencies submit data to the Safe Drinking Water Information System (SDWIS/FED), an automated database maintained by EPA. The data submitted include, but are not limited to, PWS inventory information, the incidence of Maximum Contaminant Level, Maximum Residual Disinfectant Level, monitoring, and treatment technique violations; and information on enforcement activity related to these violations. Section 1414(c)(3) of the Safe Drinking Water Act requires states to provide EPA with an annual report of violations of the primary drinking water standards. This report provides the numbers of violations in each of six categories: MCLs, MRDLs, treatment techniques, variances and exemptions, significant monitoring violations, and significant consumer notification violations. The EPA regional offices report the information for Wyoming, the District of Columbia, and all Indian lands but the Navajo Nation. EPA Regional offices also report federal enforcement actions taken. Data retrieved from SDWIS/FED form the basis of this report.

Public Water System

A Public Water System (PWS) is defined as a system that provides water via piping or other constructed conveyances for human consumption to at least 15 service connections or serves an average of at least 25 people for at least 60 days each year. There are three types of PWSs. PWSs can be community systems (such as towns), nontransient noncommunity systems (such as schools or factories), or transient noncommunity systems (such as rest stops or parks). For this report, when the acronym PWS is used, it means systems of all types unless specified in greater detail.

Maximum Contaminant Level

Under the Safe Drinking Water Act (SDWA), the EPA sets national limits on contaminant levels in drinking water to ensure that the water is safe for human consumption. These limits are known as Maximum Contaminant Levels (MCLs).

Maximum Residual Disinfectant Level

The EPA sets national limits on residual disinfectant levels in drinking water to reduce the risk of exposure to disinfectant byproducts formed when public water systems add chemical disinfectant for either primary or residual treatment. These limits are known as Maximum Residual Disinfectant Levels (MRDLs).

Treatment Techniques

For some regulations, the EPA establishes treatment techniques (TTs) in lieu of an MCL to control unacceptable levels of certain contaminants. For example, treatment techniques have been established for viruses, some bacteria, and turbidity.

Variances and Exemptions

A primacy state can grant a PWS a variance from a primary drinking water regulation if the characteristics of the raw water sources reasonably available to the PWS do not allow the system to meet the MCL. To obtain a variance, the system must agree to install the best available technology, treatment techniques, or other means of limiting drinking water contamination that the Administrator finds are available (taking costs into account), and the state must find that the variance will not result in an unreasonable risk to public health. The variance shall be reviewed not less than every 5 years to determine if the system remains eligible for the variance.

A primacy state can grant an exemption temporarily relieving a PWS of its obligation to comply with an MCL or treatment technique or both if the system's noncompliance results from compelling factors (which may include economic factors) and the system was in operation on the effective date of the MCL or treatment technique requirement. The state will require the PWS to comply with the MCL or treatment technique as expeditiously as practicable, but not later than 3 years after the otherwise applicable compliance date.

Monitoring

A PWS is required to monitor and verify that the levels of contaminants present in the water do not exceed the MCL or MRDL. If a PWS fails to have its water tested as required or fails to report test results correctly to the primacy agent, a monitoring violation occurs.

Significant Monitoring Violations

For this report, significant monitoring violations are generally defined as any significant monitoring violation that occurred during the calendar year of the report. A significant monitoring violation, with rare exceptions, occurs when no samples were taken or no results were reported during a compliance period.

Consumer Notification

Every community water system is required to deliver to its customers a brief annual water quality report. This report is to include some educational material, and will provide information on the source water, the levels of any detected contaminants, and compliance with drinking water regulations.

Significant Consumer Notification Violations

For this report, a significant consumer notification violation occurred if a community water system completely failed to provide its customers the required annual water quality report.

Public Notice Violations

The Public Notification Rule requires all PWS to notify their consumers any time a PWS violated a national primary drinking water regulation or has a situation posing a risk to public health. Notices must be provided to persons served (not just billing consumers).

OBTAINING COPY OF 2015 PUBLIC WATER SYSTEMS REPORT

As required by the Safe Drinking Water Act the **(Insert Name of State)** has made the 2015 Public Water Systems report available to public. Interested individuals can obtain a copy of the 2015 Annual Public Water Systems Report for **(Insert Name of the State)** by accessing: **(Select appropriate means for individual to obtain copy of the Report)**

State Website:

Telephone:

Fax Number:

E-Mail:

Address of Responsible State Department:

Contact Name:



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, DC 20460

OFFICE OF
ENFORCEMENT AND
COMPLIANCE ASSURANCE

MAY 19 2016

Dear State or Tribal Drinking Water Administrator:

This letter serves as a reminder that your 2015 Annual Public Water Systems (PWS) Compliance Report is due to the U.S. Environmental Protection Agency (EPA) by July 1, 2016. This report is required by Section 1414(c)(3) of the Safe Drinking Water Act of 1996.¹ To assist you in preparing your report, I am enclosing a ***Guidance for Preparing Calendar Year 2015 State Annual Public Water Systems Compliance Reports*** which will help you to pull and report calendar year 2015 violation data from Safe Drinking Water Information System (SDWIS). Detailed information on obtaining the data can be found in Attachments A and B in the enclosed Guidance.

I encourage you to work closely with your EPA regional SDWIS data manager as you prepare your reports. This coordination will help EPA identify and resolve any potential discrepancies between the data you present in your annual compliance report and EPA's SDWIS-FED data.

State reports should be submitted via email to Joyce Chandler at chandler.joyce@epa.gov. Alternatively, hard copy reports can be sent to the following address:

U.S. Environmental Protection Agency
Mail Code 2227A
1200 Pennsylvania Avenue NW
Washington, DC 20460
Attn: Joyce Chandler

In April 2015 EPA released the Drinking Water Dashboard (<https://echo.epa.gov/trends/comparative-maps-dashboards/drinking-water-dashboard>) as a means to increase public access to PWS compliance and enforcement data and display trends in a user-friendly format. The Dashboard has been popular and visited frequently. Given the Dashboard's accessibility and comparability to the breadth and scope of information provided in EPA's national PWS report, we are exploring the possibility of using the Dashboard for the 2015 National PWS Compliance Report. We believe that this approach, including links from the Dashboard to web-accessible state annual PWS compliance reports, may present the national report in a more visible and user-friendly format along with offering access to more current information about PWS compliance. We will provide the states with further information about these potential changes later this year.

¹ The U.S. Office of Management and Budget (OMB) has approved the collection of this information with the EPA Information Collection Request (ICR) No. 1812.04; OMB Control No. 2020-0020 as stipulated by the Paperwork Reduction Act (44 U.S.C. 3501 et. seq.).

If you have any questions or comments, please contact Joyce Chandler of my staff at (202) 564-7073 or via email. Thank you for all your efforts in preparing and making public the 2015 Annual PWS Compliance Report.

Sincerely,



Edward J. Messina, Director
Monitoring, Assistance, and Media Programs Division
Office of Compliance

Enclosures

cc: James Taft, Executive Director, ASDWA

evans-walker, daria

From: Curtis, Jamelya
Sent: Monday, August 08, 2016 10:31 AM
To: Curtis, Jamelya
Subject: Fw: Final FY11 ADEQ WQD EOY summary report
Attachments: FY11 EOY.Final.doc

Jamelya Curtis
U.S. Environmental Protection Agency
Region IX
75 Hawthorne Street (WTR-9)
San Francisco, CA 94105-3901

phone: 415.972.3529
fax: 415.947.3549
email: curtis.jamelya@epa.gov

----- Forwarded by Jamelya Curtis/R9/USEPA/US on 08/08/2016 10:30 AM -----

From: Laura Bose/R9/USEPA/US
To: "Owen, Marc" <mowen@azauditor.gov>.
Cc: Alexis Strauss/R9/USEPA/US@EPA, Fulton.michael@azdeq.gov, Linda C. Taunt <Taunt.Linda@azdeq.gov>, Colleen McKaughan/R9/USEPA/US@EPA, Jamelya Curtis/R9/USEPA/US@EPA
Date: 12/22/2011 02:25 PM
Subject: Final FY11 ADEQ WQD EOY summary report

Marc: Attached is the final summary report for the end of year evaluation of ADEQ's water quality programs. Please do not hesitate to contact me if you have any questions.

(See attached file: FY11 EOY.Final.doc)

Thanks.

Laura Tom Bose
Water Division
415-972-3477
bose.laura@epa.gov

ADEQ/EPA SFY11 End of Year Summary

EPA's end of year (EOY) review of ADEQ's water programs evaluated program commitments in the workplan, reviewed reports/submittals and considered information gathered during ongoing program conference calls.

Administration

1. **Revenue:** ADEQ Water Quality Division (WQD) no longer receives general funds from the state legislature. WQD receives approximately \$5.19M annually through several EPA grants to implement water programs. A combination of program fees, Drinking Water State Revolving Fund (DWSRF) set-asides (\$1.82M) and Water Infrastructure Financing Authority (WIFA) fees (\$3.2M) have been used to meet EPA grant match requirements and fund operating costs. Although the legislature authorized fee collection, water quality fees and small drinking water systems monitoring assistance fees (\$1M) have been swept by the legislature. ADEQ has begun to collect AZPDES permitting fees (forecasting up to \$2.9M in FY12) and is moving forward with operator certification fees and evaluating fees for design review, pesticide fate reviews and a drinking water administrative fee. Use of WIFA fees to offset general funds continues to be of concern to EPA as it limits WIFA's ability to meet administrative costs and provide technical assistance to water and wastewater systems. ADEQ, WIFA and EPA will continue to hold quarterly budget calls.
2. **Workplan:** The Water Quality Division (WQD) develops an annual integrated workplan covering all activities and commitments for federally and non-federally funded tasks. It provides a comprehensive look at the work being performed by the Division; however, tracking specific activities and expenditures with an integrated workplan is more difficult for EPA grant project officers. EPA and WQD are investigating options to improve reporting and accountability for grant funds.
3. **Staffing:** ADEQ has reduced in size from 800 to 528 staff over the last three years. Although a hiring freeze has been in effect for last three years, vacant positions can be filled if mission-critical. The WQD currently has 145 staff and is recruiting to fill up to 4 vacancies, including 3 in the Field Services Unit of the Compliance Section and 1 for stormwater permitting in the Surface Water Section. Priority is given to filling "uncovered" positions, i.e., those not covered under state merit system which protects tenure, benefits, etc. ADEQ recently closed its Northern Regional Field Office in Flagstaff to reduce expenses which resulted in a reassignment of four inspectors to Phoenix, of whom two have resigned or retired.
4. **Rule Making:** All agencies in Arizona are bound by a legislative rules moratorium. ADEQ is thus unable to revise Safe Drinking Water regulations, NPDES pretreatment and Concentrated Animal Feeding Operation (CAFO) regulations, water quality standards and listing criteria. This has hindered implementation of parts of the water quality programs. The WQD maintains a list of regulatory changes needed and may seek approval of minor water quality standard changes and new drinking water fee authority in FY12.

DRINKING WATER PROGRAM

Program Development and Planning

ADEQ's Drinking Water Section (DWS) has met and continues to meet its commitments toward EPA's performance measures. 97% of the population served by the 780 Community Water Systems (CWS) meet health-based standards, compared to the regional goal of 95% and national goal of 91% (ACS 2.1.1). 90% of the CWS meet standard achieving the regional goal (SP-1). At 97%, ADEQ exceeded the national goal of 95% for person-months of drinking water served meeting standards (SP-2).

In 2008, ADEQ, through an omnibus rule, adopted all drinking water regulations in 40 CFR Parts 141 and 142 (as of July 2007) by reference. Competing priorities have delayed submission of completed primacy packages; however, ADEQ can and is implementing these regulations through implementation agreements. Adoption of the Lead and Copper Rule short-term revisions and a correction to the Surface Water Treatment Rule will be considered when the rules moratorium is lifted. In the interim, ADEQ must develop a program to implement the surface water treatment avoidance provision. EPA and ADEQ are working together to set a plan and schedule for submission of the primacy packages.

Program Implementation

ADEQ's Drinking Water Section (DWS), in conjunction with Maricopa and Pima Counties, implement the Public Water Supply Supervision (PWSS) Program. AZ regulates and oversees approximately 1560 total water systems, community and non-community. Maricopa County has authority to implement the program with the exception of Operator Certification and Capacity Development. Maricopa County oversees 243 water systems of which 116 are CWS and the remainder non-community and transient systems. Pima County conducts sanitary surveys and is interested in assuming monitoring and reporting authority. Delegation agreements document specific responsibilities and are being reviewed and reissued in FY12.

Implementation of the ADEQ's system capacity development strategy provides small system assistance by identifying systems in need through the master prioritization list (MPL), and providing monitoring (MAP) and technical assistance. ADEQ is considering expanding MAP, to assist with sampling for nitrates and SOC's to reduce the rising noncompliance of small systems. Technical assistance will also shift from system evaluations to targeted training for systems with violations.

ADEQ's one-time Expense Reimbursement Grant (ERG) of \$1.87M from EPA has been used since 2003 to ensure operator certification courses were provided to small system operators. ADEQ held 26 workshops in FY11. The FY11 Operator Certification Report described program activities and accomplishments; however, the financial expenditures details were lacking. ADEQ and WIFA need to submit this as part of the FY12 report to EPA. This grant closes at the end of FY12 and ADEQ will look to the DW SRF setasides to continue their operator certification training program.

ADEQ's DWS held 5 system security training sessions, and although the number has declined as funding has decreased, information has been incorporated into other drinking water workshops.

ADEQ continues to maintain quarterly communication with AZ Water/Wastewater Agency Response network (AzWARN), a statewide mutual assistance program.

Drinking Water Compliance and Enforcement

The Compliance Section (CS) is responsible for assuring compliance with all regulatory programs implemented by ADEQ's Water Quality Division which includes Public Water Supply Supervision/Drinking Water (PWSS), Arizona Pollutant Discharge Elimination System (AZPDES) and the Aquifer Protection Permit (APP) programs.

The CS conducted 32 sanitary surveys of surface water systems and 431 inspections of non-community systems exceeding its SDWA target of 22 and 324, respectively. ADEQ and EPA have agreed to a reduced FY12 commitment given state resource constraints.

Implementation of the Enforcement Response Policy (ERP) focuses compliance and enforcement activities on systems with greatest public health concerns. ADEQ supports use of the Enforcement Targeting Tool (ETT) concept for strategic planning and targeting compliance assistance and enforcement resources.

In FY10, the CS exceeded its commitment and issued 82 informal and 17 formal enforcement actions against water systems, primarily, for arsenic MCL violations. In FY11, the CS agreed to address 144 systems on the ETT lists with scores equal to or greater than 11. Approximately 90% of systems on AZ ETT lists have a population < 3300 and 60% have a population < 1000. ADEQ addressed 133 of the 144, meeting its commitment of 90%. The CS issued 43 NOV/NOCs, 8 AOs, tracked 32 compliance schedules (from previous years). Maricopa County tracks 5 of the compliance schedules.

The progress made over the past few years, i.e., issuance of formal enforcement actions, systems installing arsenic treatment, slowed in the second half of FY11 and poses a potential workload challenge for ADEQ to meet its FY12 commitment of addressing the 88 systems (on the July 2011 ETT list) with a score of 11 or higher during the fiscal year. EPA encourages ADEQ to develop a strategy, other than use of MAP to include triggered/repeat/quarterly monitoring, to prevent violations.

EPA issued 2 NOVs and 2 AOs to water systems in FFY11 and will continue to work-share, with a focus on actions against recalcitrant systems.

Reporting, Data Management and Recordkeeping

ADEQ maintains reporting responsibility for all water systems. The DWS and CS continue to report to SDWIS-FED in a timely manner every quarter, and effectively utilize the tools provided by the most recent SDWIS-State training. The extensive outreach efforts to provide drinking water rule training and assistance to water systems is commendable, especially for new rule implementation. However, water system violations for several new rules have not been reported. Recently, ADEQ initiated efforts to begin this reporting, but an expanded effort is needed. EPA is developing a strategy to assess the barriers of all Region 9 states to reporting violations for all rules and will work with states to address those barriers.

Source Water Protection Program (SWPP)

Source Water Protection is a voluntary program to identify strategies and assist individual water systems to protect water systems from potential sources of contamination. Each state develops a program tailored to its needs. ADEQ exceeded its commitments on outreach and assistance to water systems in identifying and implementing protection strategies. ADEQ promoted SWPP through various activities throughout the year and made strides in addressing the State's most relevant Potential Contaminating Sources (PCS's). ADEQ's outreach with schools continues to serve a dual purpose of education now and laying the foundation for improved school SWPP in the future.

ADEQ and EPA continued to coordinate on Ground Water Protection through ADEQ's APP program and EPA's UIC program. This included information exchange on the Morton Salt, ANGS (Arizona Natural Gas Storage), and Florence Copper projects to ensure a consistent approach in oversight of these projects. Where programs overlap, EPA and ADEQ have coordinated and shared information to ensure proposed permit conditions are consistent; and have utilized agency expertise on issues for these current projects and future projects. In addition to coordinating on projects, ADEQ continues to share information from its drywell database for EPA's national database.

CLEAN WATER ACT

NPDES Permitting

The principal task of the two permitting units in the Surface Water Section (SWS) is timely issuance of new and reissued permits to facilities subject to the CWA. The universe of permits currently include 68 individual major permittees, 92 minor permittees, 8 individual permits to municipal separate storm sewer systems (MS4), and 5 general permits for a variety of discharges (de minimus, construction stormwater, industrial stormwater, Concentrated Animal Feeding Operations (CAFOs) and small municipal (Phase II) stormwater). ADEQ is working on a number of new general permits, as discussed below.

ADEQ met and continues to meet its commitment to maintain 90% of permits current (as defined by EPA). At the time of the review ADEQ was 94% current with 3 permits for majors, 5 permits for minors and 2 general permits expired greater than 180 days. The expired individual permits are in various stages of draft and public review depending on the specific issues of the permit being addressed. Variances from water quality standards continued to be an area of direct EPA involvement, given the time needed for EPA and ADEQ to evaluate appropriateness of the variance.

ADEQ met its commitment to issue all Storm Water Phase I MS4 permits and the Multi Sector General Permit (MSGP) for stormwater discharges from industrial sites. The last six of the eight Phase I MS4 permits in Arizona were issued in FY11 or shortly thereafter. ADEQ issued separate mining and non-mining MSGP permits. Although ADEQ had missed these target dates over the course of several years, these stormwater permits are now in effect. ADEQ also conducted outreach to the industrial community on how to comply with the industrial permits, and processed a significant volume of construction NOIs, waivers and NOTs, as well as new NOIs for these new industrial general permits. ADEQ reviewed all annual reports for all of its Phase I and II MS4s.

ADEQ issued its general permit for aquatic pesticides, effective October 31, 2011, and conducted extensive outreach. ADEQ is developing five additional general permits to address various discharge scenarios. This should reduce the number of individual permits to be issued as permittees move toward coverage under these general permits and free staff resources required for other individual permit issuance. Although ADEQ has fallen behind on its own commitment dates, they continue to make progress on their development. The first two permits will address infrequent and low-volume discharging POTWs and were issued for public comment. EPA has reviewed and provided comment to ADEQ on both of these permits. ADEQ has drafted two of the other permits, one for biosolids and the other for arsenic water treatment plant discharges. ADEQ's CAFO permit expired in April 2009, but will not be reissued until ADEQ's regulations can be revised to be consistent with EPA regulations.

For FY12, ADEQ is expected to provide schedules for the issuance of the general permits and initiate outreach efforts on reissuance of the Phase II MS4 stormwater permit.

Enforcement and Compliance

Inspections

The Compliance Section (CS) set a target of inspecting all of the major AZPDES permitted facilities (68*) and 20% of the minor facilities (18 of 89) in FY10 and FY11.) *Two of the major facilities have not been constructed and one facility has ceased discharging. EPA's Compliance Monitoring Strategy (CMS) requires the inspection of majors once every two years (50%) and all minors inspected once in a 5 year cycle (20%). ADEQ inspected 62 of the actual 65 major facilities, and 33 of the minor facilities, exceeding the goals of the CMS and provided an adequate explanation for missing the major facilities workplan target. ADEQ also met its target of 20 CAFOs inspections. AZ has 100 CAFOs statewide covered by AZ APP permits and 2 subject to AZPDES permit. Twenty-four of the 40 facilities subject to biosolids regulation (POTWs and land application facilities) and 5 of the 16 facilities with pretreatment programs were inspected and one was audited. Given the current resource limitations, EPA recognizes ADEQ may have some difficulty conducting inspections, and agreed to reduce the workplan targets to 50% of the majors and 20% of the minors for FY12. ADEQ will also inspect the City of Phoenix 91st Avenue facility, which is covered by an EPA-issued NPDES permit.

The CS committed to 74 industrial and 76 construction stormwater inspections in FY11, but only inspected 68 and 44 sites, respectively. In FY10, ADEQ conducted 92 industrial and 115 construction inspections, exceeding its workplan commitments. EPA's CMS goals are 10% of all industrial facilities, and 5-10% of construction facilities. To comply with the goals of the CMS, ADEQ should have conducted additional construction stormwater inspections. The CMS goals for the stormwater programs also include audits of MS4s. ADEQ did not commit to any audits in FY11 but have committed to 2 Phase II audits in FY12. EPA audited all of the Phase I facilities within the timeframes of the CMS. In FY11, ADEQ accompanied EPA or EPA contractors on 3 audits of MS4s.

Pretreatment Program commitments were met in FY10 and FY2011. In addition to the 5 inspections and audit of the City of Yuma, ADEQ approved 3 program changes and reviewed the implementation by the city of Gila Bend.

ADEQ and EPA have agreed that stormwater inspections and audits are an area for improvement. Resource limitations, technical capacity and number of inspectors will continue to be an issue in FY12 in meeting stormwater inspection commitments. EPA has agreed to provide hands-on inspector training. ADEQ will accompany EPA during these inspections and will also accompany state-contracted inspectors to further develop skills in MS4 inspections. With limited resources, strategically focusing inspections is critical to ADEQ's program success. EPA has received ADEQ's strategy and will be providing feedback to ADEQ after review of the strategy. ADEQ and EPA will continue to communicate regularly on stormwater implementation.

Reporting and Data Management

The CS did not meet commitments for quarterly enforcement reporting (QNVR and Quarterly Enforcement Report) in FY11. EPA received 2 of the required 4 reports. The report provides information to EPA on compliance by AZPDES regulated facilities and ADEQ efforts to address non-compliance. The failure to provide these reports was discussed in several of the monthly

compliance calls. Recent changes in management and clarification of the task in the FY12 workplan appear to have resolved the issue.

The CS met its data management commitments, with timely data entry into PCS. Entry of enforcement and inspection information has begun. ADEQ continues to prepare for data migration from PCS to ICIS. For FY12, ADEQ has agreed to upload minor NPDES facility information into PCS.

Enforcement

Arizona had 7 major facilities in Significant Non Compliance (SNC) for one quarter or more during SFY10. Major facilities are flagged as SNC if they have acute or chronic effluent limit violations that exceed EPA's criteria for magnitude and duration. Facilities may also be flagged as SNC for late submittal of discharge monitoring reports. Arizona's SNC rate of 10% (7 of 71 majors) is better than the national average of 23% during FFY10. All of the Arizona SNCs were for effluent limit violations. Recent data provided by ADEQ indicates there are 11 of the 89 minors with continued effluent violations.

The CS issued 2 Administrative Orders (AO), tracked 3 Orders from previous years and issued 28 informal enforcement actions (Notice of Opportunity to Correct (NOC) and Notice of Violation (NOV)) in FY11. 23 NOVs and 1 NOC were issued in FY10. An AO was issued in FY10 to the International Boundary and Water Commission (IBWC) for pretreatment and biosolids violations at the Nogales International Wastewater Treatment Plant (IWTP). Ongoing non-compliance by the IBWC with the order resulted in a referral to the Attorney General's office.

Despite the actions mentioned above and the relatively high compliance rate, EPA is concerned the procedures set forth in the Compliance and Enforcement Manual do not allow for timely and appropriate formal enforcement action as defined by EPA. The two formal enforcement actions, AOs, were late compared to EPA's timeliness criteria. Furthermore, EPA is concerned the recently enacted State legislation (SB1598) may significantly lengthen the time ADEQ must wait before taking formal enforcement and weakens the ability of the cities with pre-treatment programs to take timely enforcement action for pre-treatment violations. After EPA completes its review of ADEQ's Compliance and Enforcement Policy Manual, EPA will discuss with ADEQ any areas of particular concern.

EPA and ADEQ continue to discuss mechanisms to account for informal enforcement actions taken which result in facilities returning to compliance. ADEQ will document these activities, using already existing resources and data systems, to show a full picture of ADEQ's enforcement actions. Regular enforcement calls discuss each facility and planned ADEQ actions providing timely information.

Surface Water Program Development

The Surface Water Section (SWS) is responsible for Water Quality Standards assessment and development. ADEQ committed to develop implementation procedures for methyl mercury in fish, implement narrative nutrient criteria workplan for rivers and streams and develop a strategy for its 2012 triennial review. ADEQ met its commitment to draft implementation procedures for methyl mercury in fish, and sampling took place to support the development of narrative nutrient criteria. However, with the current regulatory moratorium, ADEQ has deferred its triennial review to 2013. ADEQ will be reviewing current WQS in 2012 to determine adequacy and if any regulatory changes would be critical in 2012 and could be added to their regulatory agenda.

Monitoring Program

ADEQ SWS uses a probabilistic monitoring design and covers the state in a 3-year cycle by monitoring one of the 3 regions (Upper, Center, and Lower) each year. ADEQ supplements their probabilistic monitoring with a targeted monitoring approach. Targeted sites are selected to address data gaps identified by the 305(b) planning list, to monitor Arizona's Outstanding waters and investigate complaints.

ADEQ completed sampling in the Middle Region per their Comprehensive Water Quality Monitoring Strategy and 2011 Sampling and Analysis Plan, which includes the Salt and Verde Watersheds. ADEQ did not complete physical integrity work or intermittent stream monitoring in accordance with their Sampling and Analysis Plans due to loss of staff. EPA will work with ADEQ to revise the necessary plans and establish monitoring priorities. National Wetlands Survey Work was delayed because of the Wallow Fire (May-June 2011) in the vicinity of the wetlands survey sites. ADEQ subsequently completed sampling in the planned areas and in Marshall Lake near Flagstaff, gathering data for comparison from an unaffected wetland site.

ADEQ has made progress toward entering the data in STORET, completing five of the six data categories. However, surface water quality data interfaces are still being mapped. We will continue to track progress with this grant condition.

Water Quality Assessment (305(b)/303(d))

ADEQ committed to submission of a draft Integrated 305(b) Assessment and 303(d) Listing Report (IR) by September 2010 and a final by June 2011. These dates reflected a delay from the previous commitment of April 2010. The submission of a biennial water quality assessment is required by the Clean Water Act. Although a draft IR was submitted, we are still awaiting a final. During the EOY meetings, EPA and ADEQ agreed to a final report in March of 2012 and an agreement to keep EPA better informed of delays.

Total Maximum Daily Load (TMDL) Development and Implementation Plans

In FY11, ADEQ SWS committed to 27 TMDLs but only submitted 11 TMDLs to EPA for approval. TMDL commitments reflect a unique combination of segments of waterbodies and pollutants. The 11 TMDLs actually consisted of a Mercury (*Hg*) TMDL for Lake Mary (5 watershed lakes) and Oak Creek for *E.Coli* on 6 segments, and represent the first TMDL submission since 2006. In addition to missing 16 of 27 TMDLs targeted for completion, staffing limitations resulted in no progress on 6 of 7 TMDL Implementation Plans (TIP) targeted in

FY2011. A new coordinator position was filled in July 2011 which should aid in TIP development in the future.

Although ADEQ did not submit other TMDLs, other work was completed. ADEQ public-noticed the Gila River *E.Coli* and *Suspended Sediment Concentration* (4 TMDLs) in January 2011, and revised the TMDLs based on comments received. However, the multiple reviews and internal concurrences combined with the public notice process for ADEQ took over six months from draft to final EPA submission. ADEQ also completed a revised Alamo Lake *Hg* TMDL, submitted a de-list report for a segment of the Little Colorado River to EPA, and data review and research for the Alvord, Cortez and Chaparral Lakes TMDLs took place. Sampling in support of 6 TMDLs was completed.

Few TMDL program goals were met in 2007- 2011; this trend appears to be continuing into 2012. ADEQ and EPA agreed to discuss progress and specific basis for delays in more detail during the monthly TMDL conference calls. ADEQ also agreed to maintain a detailed tracking system for TMDL development, to notify EPA before a TMDL is public-noticed, and send a draft of the TMDL prior to public notice. EPA and ADEQ will work together to prioritize completion of TMDLs. Proposed criteria include working on TMDLs with strong potential for implementation, address priority pollutant concerns, and are coordinated with targeted watershed funding and active stakeholder groups.

Regional Water Quality Management Planning

AZ conducts water quality management planning through the CWA Section 208 process. ADEQ provided CWA 604(b) grant funds to the planning agencies. ADEQ provided technical assistance during the approval process for nine 208 amendments and for fifty 208 Consistency Reviews. Three water quality management planning agencies completed their draft 208 regional plan updates (using funding from the 2009 ARRA grants). These 208 plan updates facilitate a new review process that should be more efficient, less expensive, and more sustainable. Yuma County is in the certification process and the CAAG and SEAGO plans are being prepared for public hearing. Although growth has slowed significantly and subsequently fewer 208 reviews were submitted, permit applications continue to be submitted for expanding facilities, renewals, and new facilities.

Non Point Source (NPS) Program Management

The Non Point Source Program is comprised of program implementation and project oversight. Program implementation is based on a State Management Plan (SMP) which establishes objectives and activities to accomplish the objectives. Accomplishments are detailed in an Annual Report. Project oversight includes the solicitation, award and oversight of projects to improve water quality. Projects can take up to 7 years to complete. The FY11 workplan reflects the milestones and commitments of the SMP. The SFY10 and SFY11 NPS Annual Reports were submitted behind schedule because of an extensive internal review and revision period. The EPA FFY10 load reduction deadline was met, with reductions of 34,453 lbs N, 316 lbs P, and 446 tons of sediment. Water Quality improvements in the Eagle Creek Watershed and Granite Creek have been identified as success stories for SFY11.

ADEQ Grants and Outreach (G&O) Unit staff provided technical support and conducted nonpoint source education and outreach efforts to watershed stakeholders. ADEQ provided outreach materials for youth education programs and participated in 17 watershed group or other public meetings to discuss watershed issues on both statewide and local scales. ADEQ made contact with the State Lands (ASLD) to begin drafting an MOU update with completion a priority for SFY12.

During SFY11, ADEQ created a Grant & Watershed Coordinator position. Primary tasks include providing support to stakeholders in Targeted Watersheds, managing Targeted Watershed Grants, and assisting with development of TMDL and Watershed Implementation Plans (TIP, WIP). This new TIP position should deliver increased program effectiveness and outputs.

NPS Project Management

ADEQ prioritized resources toward supporting existing Water Quality Improvement Grant (WQIG) projects, with a focus on Targeted Watersheds Grant (TWG) projects and Watershed Improvement Plan (WIP) development. ADEQ managed 34 projects, 3 Interagency Service Agreements (ISAs), 6 TWGs and closed 6 projects. Grant agreements were finalized for projects awarded under Grant Cycle 12 (\$1.9M), which included three new TWG projects. Three ISAs were also finalized with the University of Arizona to provide WIP development, education, and modeling support to ADEQ's TWG projects.

The Wallow Fire (May-June 2011) burned over 500,000 acres and affected two of ADEQ's Targeted Watersheds (LCR Headwaters and the San Francisco River/Blue River). As of the close of SFY11, ADEQ had begun coordinating with the USFS and other watershed stakeholders to identify short-term implementation needs. ADEQ will continue to coordinate with other state agencies and local entities to provide support and funding for watershed rehabilitation projects into SFY12.

Wetlands Program Development

ADEQ committed to develop a state-wide wetlands map to update the National Wetlands Inventory, and will provide a detailed accounting of the estimated acreage of wetlands in non-tribal areas. ADEQ contracted with the University of Arizona to develop the map. ADEQ staff were trained in the field, then ground-truthed and reviewed the maps. Spatial resolution problems which delayed the project have been resolved. The effort was not completed by the projected date but will be completed by the end of December 2011.

Border Strategy

ADEQ's Office of Border Environmental Protection (OBEP) continued to assist on Border Strategy implementation. OBEP has consistently provided exceptional engineering reviews, oversight, quality control and reporting in support of and in coordination with EPA's US-Mexico Border Program projects. The staff also worked closely with Nogales utility to address industry to address pretreatment concerns in conjunction with ADEQ.

evans-walker, daria

From: Curtis, Jamelya
Sent: Monday, August 08, 2016 10:29 AM
To: Curtis, Jamelya
Subject: Fw: Action Items from EOY
Attachments: ADEQ FY 12 EOY final summary.docx

Jamelya Curtis
U.S. Environmental Protection Agency
Region IX
75 Hawthorne Street (WTR-9)
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----- Forwarded by Jamelya Curtis/R9/USEPA/US on 08/08/2016 10:28 AM -----

From: Laura Bose/R9/USEPA/US
To: Linda C. Taunt <Taunt.Linda@azdeg.gov>
Cc: Jamelya Curtis/R9/USEPA/US@EPA, Karin Graves/R9/USEPA/US@EPA
Date: 11/06/2012 11:06 AM
Subject: Action Items from EOY

I have made the action items form our end of year "final". Here is your copy. I will share with the program leads at EPA. It will be their responsibility to follow-up. Of course, at midyear, I will want an update!

(See attached file: ADEQ FY 12 EOY final summary.docx)

Laura Tom Bose
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ADEQ SFY 12 END OF YEAR REVIEW

EPA's end of year (EOY) review of ADEQ's water programs evaluated program commitments in the workplan, reviewed reports/submittals and considered information gathered during ongoing program conference calls.

ADEQ's Integrated Workplan describes all Water Quality Division (WQD) activities. Activities are funded by several Federal grant sources as well as non-Federal sources. See Attachments 1 (Summary of Federal Funding) and 2 (Overall ADEQ Budget Expenditures).

For the SFY12 review, EPA focused not only on the program commitments and work but also the adequacy of program integration and communication across program lines. With limited resources and large water quality challenges, EPA is interested in opportunities for collaboration and program integration. Individual program assessments are part of the official grant file.

ASSESSMENT

ADEQ and EPA maintain regular communication, with open and constructive discussions between programs. Our continued dialogue provides opportunities for collaborative problem solving.

Program Successes

- Monitoring Assistance Program for Water Systems
- Source Water Protection Program efforts with schools
- High quality and timely NPDES permitting
- Compliance by NPDES permitted facilities
- Progress toward water quality improvements through NPS project implementation
- Border Program Efforts – Outreach and infrastructure, especially Nogales

Specific projects we have worked through jointly

- Marana – 208 and NPDES Permitting
- Rosemont – NEPA, 401 and 404
- 404 delegation
- Gila River TMDL, submission and Model General Permit WLA Language
- Curis and BHP APP and UIC Permitting
- Response to Senate Bill 1289

Challenges and Opportunities

- SDWA Cross program collaboration: PWSS, Compliance and WIFA, reducing number of facilities on ETT (Note: EPA has separate responsibility to ensure effectiveness of WIFA)
- CWA Cross program collaboration: TMDLs and NPS; Santa Cruz- Impaired Waters, NPS, NPDES Permitting, Compliance and Border
- Revised TMDL Workplan commitments (renewed commitment by management to finalize and submit)
- Delays in submittal of Integrated Report
- Variances in NPDES permits

- WQS: Future efforts to address urban lakes
- NPS: New program guidance (focus and funding changes)
- SW Enforcement – building ADEQ capacity

ACTION ITEMS

SDWA Programs

PWSS Program

1. PWSS Program will provide proposed workplan revisions to further the progress on primacy packages. The proposed revisions should identify for each rule-specific primacy package, specific milestones and dates for review and re-submittal. EPA will review and final changes will be submitted to Budget and Planning for inclusion in the revised FY13 workplan.

2. EPA and ADEQ will continue to discuss cross program integration and coordination between WIFA and the program activities in the ADEQ Drinking Water and Compliance Sections. We will continue to explore opportunities to further the use of existing tools and resources to address the needs of drinking water systems, with particular focus on small systems.

DW Compliance

3. ADEQ will try and associate enforcement actions in the database prior to the end of September. ADEQ will evaluate options to address systems in non-compliance prior to showing up on the ETT list.

UIC

4. ADEQ and EPA will continue to keep each other apprised of major developments in the various APP/UIC permitting actions. Curis, BHP, etc.

5. ADEQ will provide updated drywell data for inclusion in EPA's database. EPA and ADEQ will consult on appropriate file format.

CWA Programs

Permits

6. Reissuance of the MS4 Phase 2 permit (expired since 12/07) is a high priority for EPA and ADEQ will keep EPA apprised of its schedule and/or if support is needed.

7. EPA will provide comments on the AZ's revised draft construction general stormwater permit by 10.26.12 in order to meet the mid-November PN date.

8. EPA will send ADEQ the final Permit Quality Review (PQR) within 2 weeks. EPA will schedule a meeting with ADEQ to discuss and resolve the action items. Delayed by HQ review, NLT 10.26.12.

9. ADEQ and EPA will discuss Nogales IWTP permit as it is being developed by ADEQ. Potential changes to monitoring program may be appropriate. Call to be scheduled.

10. Variances which are water quality standard actions in permits were discussed. ADEQ shared it basis for the existing and forthcoming variances (11 in total). Specific follow-up actions are:

Grand Canyon, North and South Rim: EPA and ADEQ will review data and determine appropriate course of action 1)Variance or 2)WQS change in 2013 Triennial Review allowing Water Effects Ratio (WER) to act as site specific standard is best option.

Tonto Creek: ADEQ will work with EPA to develop annual mean averaging period in the new permit that will not include a variance.

Water Quality Standards

11. ADEQ will provide initial data and justification for modifying tributary language in Nutrient standards for Rivers to EPA, prior to a joint discussion.

12. EPA to schedule call with ADEQ to discuss 2009 Standards not approved. Completed 10.17.12

13. ADEQ will revise WQS Workplan task to reflect new implementation procedures and Pinto Creek Site Specific Standard dates.

Monitoring

14. EPA will schedule a call to discuss WQX data (PPG) and Rivers and Streams specific work-plan revisions (Monitoring Grant).

TMDLs and NPS

15. ADEQ to review comment on the proposed NPS guidance, when it is released.

16. Hillside Mine: EPA to provide O&M costs for road and cap.
ADEQ will consult with State Lands on project and related liabilities. ADEQ will advise EPA on its preferred course of action.

17. ADEQ will review the existing Priority Watersheds to determine if they remain a state priority for achieving water quality improvement.

18. ADEQ will continue to look at impaired waters with and without TMDLs and determine which ones will have priority/be included in 2014 Workplan.

19. EPA will review projected annual commitment for TMDLs by end of October 2012.

20. EPA NPS will provide good examples of watershed plans for TMDLs.

21. ADEQ and EPA worked together to revise 2013 workplan to include deliverables, and revised numbers for TMDL submittal. (Completed 10.01.12)

WQ Compliance

22. ADEQ agreed to provide EPA with copies of inspection reports in SFY13 which will include a geographic and programmatic mix.

23. ADEQ will include other compliance reports with the quarterly enforcement report due 11.15.12.

24. ADEQ will include the dates for both sending and closing an NOV for each facility on the quarterly report. EPA will use the information to assess the amount of time it takes to bring systems into compliance using informal enforcement.
25. ADEQ will complete review of Prescott Response to MS4 audit and inform EPA of its planned action at future compliance call.
26. ADEQ SW Permits Unit will review annual reports of MS4 Phase I. EPA and ADEQ will discuss reviews to determine if they can address the requirements of EPA national initiative.
27. EPA will provide an update on ADOT enforcement and consult on compliance dates. EPA will keep ADEQ apprised.

Cross Program

28. ADEQ TMDL/NPS will work with SW Compliance to review City of Prescott MS4 Phase II Audit as part of TMDL development. And will work with SW permits to ensure MS4 Phase II will be assigned a WLA.
29. ADEQ TMDL/NPS will work with Compliance to understand extent and influence of Sanitary Sewer Overflows identified in the Granite Creek WIP, as well as recommended remedy (enforcement action, or other).
30. Santa Cruz Watershed Project
EPA/ADEQ/Tetrattech clarify period of time and parameters for data requested from stakeholder groups, and distribute revised data summary and Dr. Norman's USGS presentation with attendees. Completed 10.11.12.
Early 2013 schedule meeting with stakeholders to present impairment assessment (via phone or in person if during February Midyear meeting)
ADEQ will be reviewing City of Nogales, AZ MS4 Phase II annual report and may request SWMPP for review.
EPA will coordinate with ADEQ to determine next steps for the Santa Cruz project following the impairment assessment. 1st Q 2013.

ADEQ SFY12 PWSS Oversight Report

This report summarizes the effectiveness of the activities performed by the ADEQ Water Quality (WQ) Division Sections responsible for the State of Arizona Public Water System Supervision (PWSS) program. The Compliance and Enforcement, and Drinking Water (DW) Sections were reviewed throughout State Fiscal Year 2012 (SFY12) beginning July 1, 2011 through June 30, 2012. WQ Division Section Managers and Unit Supervisors participated in ongoing communication including: monthly conference calls and one in-person meeting held at mid-year to review PWSS program implementation. ADEQ WQ Division utilizes an Integrated Grant Workplan and Quarterly Output report to summarize goals and tasks supported by EPA funding sources. The State has successfully implemented a PWSS program for SFY2012.

1) Administration

During SFY12, ADEQ has drawn down federal funds efficiently. ADEQ is funded by EPA through the DWSRF setasides and PWSS grant that are integrated into a WQ Division Performance Partnership Grant (PPG). ADEQ working with WIFA did not create a significant ULO in any grants except for the 2% setaside which has not been drawn down at the same pace as the SRF Cap Grant and setasides. The delays in expending the 2% setaside funds were due to changes in how Technical Assistance is delivered via the AZ state procurement system. The DWSRF setaside grant end period is not closing in the next SFY causing no concern regarding an ULO.

DW Section staff is mostly funded by the PWSS Federal funds from the 10% setaside to the DWSRF. Compliance and Enforcement Section staff who works on public water systems (PWSs) are mostly funded by the PWSS Grant integrated into the PPG. ADEQ WQ Fee program generates funds for WQ Division use. New fees took effect July 1, 2011. This Fee program has not been able to make up the lost State General Fund allocation directed away ADEQ. The MAP fee fund has changed its billing schedule in SFY12 to retain fees in the WQ Division fee fund. This allows funds to be kept for use in the DW program and not swept into the ADEQ overall budget. MAP contractor for the laboratory services has a 3 year contract which can be extended. ADEQ Divisions did not get approval to move budgets dollars from Divisions in ADEQ. Furloughs will be in place for SFY12 six were expected and two were implemented.

Table 1 – Federal funding source summary and ULO description

Funding Source	ULO description
10% setaside - PWSS Federal	5% ULO used efficiently every year by ADEQ staff
2% Technical Assistance	87% ULO used for SE. Funds have been building from SFY2011 past FYs have banked authority (except for 2008 which has no ULO).
15% Local Assistance	22% ULO
4% SRF Program Administration	100% ULO used by AZ WIFA prior year ULO's
Security Grant WPC III	0% ULO
Operator Certification Expense Reimbursement Grants (ERG)	5% ULO to be redistributed to the Cap Grant

Table 2 - SFY12 PWSS Program Grant Tasks funding sources

Task – DW program	Funding source
FY12 Task 1.1.1-Plan Review	WQFF (DW) PWSS Federal [Match]
	PPG
	PWSS Federal
FY12 Task 1.1.2-Compliance and Enforcement	Wellhead
	WQFF PPG [Match]
	PPG (DW)
FY12 Task 1.1.3-TA	PWSS Federal
FY12 Task 1.1.4-Op Cert	PWSS Federal
FY12 Task 1.1.5-Security	PWSS Federal
FY12 Task 1.1.6-Capacity Development	PWSS Federal
FY12 Task 1.1.7-MAP	PWSS Federal
	MAP Fee Fund
FY12 Task 1.1.8-Monitoring and Reporting	PWSS Federal

ADEQ has been burdened by vacancies and difficulty in retaining staff. Federal grant funds have been carried over between Fiscal years in the past due to vacancies. ADEQ has projected their vacancies and given EPA Region 9 their expected staffing levels and current organization charts. The new State of Arizona personnel system has eased the hiring capability of Units in the Water Quality Division. EPA can expect vacancies to be filled in the DW Section, Compliance Section and SRO.

Table 3 – FTE vacancy level

Section – Unit	Vacancy
WQD Drinking Water Section	Admin Secretary vacancy not to be filled
WQ DW-Source Water Assessment & Protection Unit	7/10 positions filled– 1 vacancies to be filled
WQ DW-Program Development and Outreach Unit	6/6 positions filled
WQ DW-Facilities Review Unit	3/9 positions filled –? vacancies to be filled
WQD Compliance Section	
WQ Compliance-Assurance Unit	7/8 positions filled – ? vacancy to be filled
WQ Compliance-Data Unit	5/6 positions filled– 1 vacancy to be filled (by Mikka Mulumba?)
WQ Compliance-Enforcement Unit	5/11 positions filled– 1 vacancy to be filled
WQ Compliance- Field Services Unit	7/10 positions filled
SRO Compliance Programs Unit	4/5– 1-2 vacancies to be filled (Manager Sherri Zendri?)

2) Rule Development

The omnibus incorporation-by-reference updated Arizona Administrative Code (AAC R18-4) to have all National Primary Drinking Water Regulations (NPDWR) of 40 CFR 141 by reference making the Arizona rules as strict as Federal regulations. Lack of staff resources has delayed the submission of a full Primacy Revision package to EPA Region 9. WQ Division has a dedicated attorney to review the primacy package and has submitted an updated draft to Region 9. WQ Division is responsive to information requests. All rule elements of 40 CFR 141 as of July 1, 2007 are in the AAC. This includes all NPDWR except Lead and Copper Rule Short term revisions (LCR STR). The LCR STR is not able to be incorporated by reference because the Arizona Governor's office has maintained a rule moratorium impeding most new state rules since 2009. New Enforcement policy changes are to be determined after an internal state review. "Kaizen" is a well-known process of continuous improvement popularized in Japan will produce 50% improvements in return to compliance rates and numbers of systems out of compliance over the next 5 years.

3) Rule Implementation (Task 1.1.7 and 1.1.8)

The ADEQ PWSS program is meeting all workplan deliverables. ADEQ is successfully implementing a PWSS program and there are no Drinking Water Rules of Significant Concern based on EPA Region 9 review of program implementation.

ADEQ uses SDWIS/State for compliance schedules on all rules. Compliance determination for the older rules including (IOC, SOC and VOC) Chemicals, TCR and LCR is done in SDWIS/State. SWTR compliance determination is done manually by rule specialist and violations are entered into SDWIS/St. DW Section-Monitoring Unit is moving towards using SDWIS compliance determination for SWTR in FY13. ADEQ uses standard forms to allow efficient compliance monitoring recordkeeping.

Two Groundwater Under the Direct Influence of Surface Water (GUDI) systems were reported in SDWIS/St– AZ0413126 Freeport MCMoran Bagdad Big Sandy and AZ0408022 Lake Havasu City. WQ Division is making GUDI determinations and four completed determinations were made in SFY12: 1) PWS # 03-569 USFS CONF DOUBLE SPRINGS (11-11-11); 2) PWS #03-345 Twin Oaks Bar and Grill (11-22-11), 3) PWS #13016 Cathedral Vista (1/31/12) and 4) 13074 Red Rock Crossing Mobile Villa (1/31/12). None of systems were declared to be GUDI.

Table 4 – Rule Implementation using SDWIS/State Compliance Determination (CDS)

TCR	Chems	Rads	L&C Ind 90 th %tile	SWTR	DBPR	GWR	P/N	CCR	Other
SDWIS CDS				Manual	SDWIS CDS		Manual	CDS	

TCR	Chems	Rads	L&C Ind 90 th %tile	SWTR	DBPR	GWR	P/N	CCR	Other
DWAR-1: Drinking Water Microbiological Analysis Report / Total Coliform Rule	DWAR-2: Drinking Water Asbestos Analysis Report	DWAR-6: Drinking Water Radionuclides - Adjusted Gross Alpha, Radium 226 & 228, Uranium Analysis Report	DWAR-8: Drinking Water Lead and Copper Analysis Report	DWAR-2A: Water Quality Parameters Report (WQP)	DWAR 16B: Individual Sample Analysis Report: Disinfection Byproducts - Bromate	DWAR-1G: Drinking Water Microbiological Analysis Report / Ground Water Rule		CCR Mailing Certification	DWAR-9: Drinking Water New Source Approval Form
	DWAR-2C: Drinking Water Composite Asbestos Analysis Report	DWAR-6A: Drinking Water Radionuclides - Man-Made Beta Particle & Photon Emitters Analysis Report		DWAR 15A&B: Monthly Reports for Surface Water Treatment	DWAR 16C: Individual Analysis Report For Systems Using Chlorine Dioxide: Distribution Sample-Set - Disinfection Byproducts - Chlorite	DWAR 19: Groundwater Treatment Plant Initial Monitoring Reporting Form		CCR Mailing Waiver	
	DWAR-2IN: Drinking Water Inorganic Chemical Analysis Report	DWAR-6POU: Drinking Water Radionuclides - Adjusted Gross Alpha, Radium 226 & 228, Uranium Analysis Report		DWAR 15C&D: Quarterly Report for Surface Water Treatment: Maximum Residual Disinfection Level (MRDL) - Chlorine Dioxide (POE	DWAR 16.1: Stage 1 Quarterly Report: Disinfection Byproducts - TTHM HAA5			CCR Tier 3 Public Notice	

TCR	Chems	Rads	L&C Ind 90 th %tile	SWTR	DBPR	GWR	P/N	CCR	Other
				Sampling)					
	DWAR-2POU: Drinking Water Point-of-Use (POU) Inorganic Chemical Analysis Report				DWAR 16.2: Stage 1 Annual Report: Disinfection Byproducts - TTHM HAA5				
	DWAR-3: Drinking Water Synthetic Organic Chemical Analysis Report				DWAR 16.3: Stage 1 Triennial Report: Reduced Monitoring for Groundwater Systems < 10,000 - Disinfection Byproducts - TTHM HAA5				
	DWAR-3A: Drinking Water Aroclor Report				DWAR 16.4: Quarterly Report For Systems Using Ozone: Disinfection Byproducts - Bromate				
	DWAR-4: Drinking Water Volatile Organic Chemical Analysis				DWAR 16.5: Quarterly Report For Systems Using Chlorine				

TCR	Chems	Rads	L&C Ind 90 th %tile	SWTR	DBPR	GWR	P/N	CCR	Other
	Report				Dioxide: Disinfection Byproducts - Chlorite (POE Sampling)				
	DWAR-10: Drinking Water Composite Inorganic Chemical Analysis Report				DWAR 17A: Quarterly Report for Conventional Treatment: TOC and Alkalinity Reporting for Step 1 or 2 Percent Reduction				
	DWAR-11A: Drinking Water Composite Volatile Organic Analysis Report				DWAR 17B: Quarterly Report for Conventional Treatment: TOC and Alkalinity Reporting for Alternative Compliance Criteria				
	DWAR-12B: Drinking Water Composite Synthetic Organic Chemical				DWAR 18A: Quarterly Report: Maximum Residual Disinfection Level				

TCR	Chems	Rads	L&C Ind 90 th %tile	SWTR	DBPR	GWR	P/N	CCR	Other
	Analysis Report				(MRDL) - Chlorine/ Chlorami nes - 1012/100 6				
					DWAR 18B: Quarterly Report For Systems Using Chlorine Dioxide: Maximu m Residual Disinfecti on Level (MRDL) - Chlorine Dioxide				
					DWAR 30: Stage 2 Disinfecti on Byproduc ts (TTHM & HAA5), Complian ce Monitorin g Plan Summary Sheet				
					DWAR 31: Stage 1 Disinfecti on Byproduc ts (TTHM & HAA5), Individua				

TCR	Chems	Rads	L&C Ind 90 th %tile	SWTR	DBPR	GWR	P/N	CCR	Other
					1 Sample Report				
					DWAR 32: Stage 2 Disinfection Byproducts (TTHM & HAA5), Individual Sample Report				
					DWAR 33: Stage 2 Disinfection Byproducts (TTHM & HAA5), Quarterly Report				

- To comply with Interim Enhanced SWTR: DEQ verifies individual filter monitoring results for conventional and direct filtration systems in the certified lab report form DWAR 15A&B: Monthly Reports for Surface Water Treatment.
- To comply with LT1: DEQ allows reduced turbidity monitoring to once per day. PWSs serving 500 or fewer persons may reduce the turbidity sampling frequency to once per day (regardless of the type of filtration treatment used). PWSs using slow sand filtration or filtration treatment other than conventional treatment, direct filtration, or diatomaceous earth filtration, may reduce the turbidity sampling frequency to once per day.
- To comply with LT2: There are no unfiltered subpart H systems in AZ so bin compliance tracking is not applicable at this time.
- To comply with FBRR: All Subpart H systems that recycle Filter Backwash, recycle to the head of the plant. DEQ reviews recycling documentation in the facility file during sanitary surveys file review not otherwise usually.
- To comply with St1: Compliance with the DBP precursor (TOC) treatment technique requirement is done manually and violations are entered into SDWIS by rule specialists. DEQ is moving toward doing CD in SDWIS.
- To comply with St2: Systems on quarterly monitoring have to calculate annual averages to determine compliance. DEQ will give outreach training to systems on how to determine compliance with Stage 2 rule. The calculation is reported in the lab reporting form DWAR-33. DEQ will do after Stage2 is tracked using SDWIS/St. The systems submit compliance monitoring through the quarterly reporting form DWAR 30. The State reviews the compliance monitoring plans for systems through the quarterly reporting form DWAR 33. Maricopa Co. does the reviews for their universe of regulated systems. Monitoring Unit sends EPA Region 9 an updated spreadsheet on Stage 2 compliance status for systems without an IDSE.
- To comply with Arsenic Rule: The RAA of all systems is calculated quarterly if not on an annual sample schedule. DEQ does not allow for a time-weighted or flow-weighted approach to compliance determination.
- To comply with Rads rule DEQ requires systems to install treatment. Only 3 systems have compliance issues with Rads rule: 1) St. John's installed Wellhead treatment. 2) Uranium blending plant. 3) ETT list Antelope peak working on getting treatment through financial means. There are no systems in Arizona that are deemed vulnerable

and required to monitor for gross beta. For purposes of beta particle and photon radioactivity monitoring requirements, DEQ would deem a community PWS as being vulnerable if it utilizes a water source that is downstream for a surface water source and/or down gradient for a ground water source from a nuclear facility.

- To comply with the PN rule: DEQ does not enter violations or compliance schedules in SDWIS/State. The SDWIS/State data entry requirements are too demanding for the resources DEQ has to complete data entry and follow up actions. Violations are sent from the Rule specialist to the Case developer in WQEU.
- To comply with CCR: DEQ uses a mailing certification form for systems to report on sending a complete a CCR to their water consumers. DEQ is challenged by the verification of the inclusion of Tier 3 PN in a CCR. DEQ cannot easily confirm that Tier 3 PN are included in CCRs. Internal communication is required between rule specialist and enforcement case developer. DEQ is determined CCR compliance annually and in the process of correcting data for SDWIS 3.01. DEQ is reviewing facility files and updating Compliance determinations going back to 2006/2007. DEQ reviews 8 elements of a CCR and assists systems to add data from last 5 yrs of compliance history. Mailing waivers are allowed for systems with populations 10,000 or fewer. EPA received a copy of the Governor's waiver signed by Jane Dee Hull, 8-17-99.
- To comply with the GWR: The state RTCs failure-to-complete triggered source water monitoring by pairing it with the TCR. AZ is conducting sanitary surveys that review the eight required elements of water system. DEQ enters the inspection of the 8 elements in SDWIS/St. The three optional elements: Financial, Security, and Other are not typically reviewed in a sanitary survey. Violations can be captured in an NOV. Only one system in AZ has to provide 4-log treatment as a result of a fecal indicator found in triggered source water monitoring samples: Twin Oaks Bar and Café has been escalated to an enforcement case. Corrective actions were performed and the PWS is in compliance. DEQ tracks compliance with the GWR manually over the past 2 years. In January 2012 DEQ started loading all manual violations from December 2009 to current date into SDWIS/State. GWR compliance schedules and monitoring violations are in SDWIS/State. No treatment technique violations are entered in SDWIS/State the few systems with violations are tracked manually for PN and corrective actions. The frequency of sanitary surveys conducted is run in SDWIS/St module quarterly. The compliance determination module schedules next sanitary survey for 3 years. Inspections can be scheduled early for triggering events.
- To comply with the LCR Minor Rev: DEQ does not review residential sampling instructions provided by the water system unless systems request DEQ to do this.
- To comply with the LCR STR: DEQ is looking at modifying the lab reporting form. The public education requirement for systems to send tap sample results to residents is mentioned in training and outreach to systems in CCR. The LCR STR is not incorporated in the AAC.

Table 5- SFY12 GPRA Performance Measures

	FY12 Target	Q1	Q2	Q3	Q4
2.1.1 - % of the population served by community water systems that receive drinking water that meets all applicable health-based drinking water standards through approaches including effective treatment and source water protection.		97.1%	97.1%	96.8%	96.7%
SP-1 Percent of community water systems that meet all applicable health-based standards through approaches that include effective treatment and source water protection.		88.1%	88.2%	87.8%	88.4%
SP-2 Percent of "person months" (i.e. all persons served by community water systems times 12 months) during which community water systems provide drinking water that meets all applicable health-based drinking water standards.		98.6%	99.1%	99.0%	98.8%
SDW-1a Percent of community water systems (CWSs) that have undergone a sanitary survey within the past three years (five years for outstanding performers) as required under the Interim Enhanced and Long-Term I Surface Water Treatment Rules.	100%	98%			

4) Compliance and Enforcement (Task 1.1.2)

During SFY12 the Compliance and Enforcement Section issued 3 Administrative Orders. These formal enforcement actions meet the criteria to remove systems from the high priority list of system on the ETT list. ADEQ Compliance and Enforcement program is increasing their enforcement efforts to meet all workplan deliverables.

The program did not meet milestones, targets/goals for each workplan task. ADEQ made some progress in addressing most public water systems on the ETT list with a score of 11 or higher, but as they noted " . . . 29 facilities from the July 2011 ERP report are still above a score of 11 (according to the July 2012 ERP report)" failed to address all 78 systems as agreed in FY12 work plan. ADEQ's continued failure to provide complete and accurate SDWIS reporting data remains a concern going forward.

There is not adequate program integration and communication across program lines. ADEQ is assessing data reporting breakdowns resulting in SDWIS inaccuracies."The WQCS is working with Drinking Water Section staff to resolve these discrepancies within the database." There are opportunities for collaboration between Enforcement and Drinking Water programs.

The organizational chart is consistent with the counterparts throughout the year.

In FY12 ADEQ's PWSS enforcement program under-performed and we don't anticipate further delays in resolving longstanding drinking water system non-compliance in FY13 (The WQCS issued 3 Administrative Orders and is tracking the compliance schedules for another 25.)

Table 6- ETT for SFY12

	FY2012 Commitment	Jul-11	Oct-11	Jan-12	Apr-12
Systems ≥ 11	88	88	81	99	100
New Sys for Qtr		3	1	6	4
Systems previously on list below 11			7	24	9

Compliance Section is in compliance with the SDWA minimum 3 yr requirement for sanitary surveys for all but one SW system.

Table 7 - Data reported to SDWIS/FED as of July 2012. (Task 1.1.2)

System Type	Values Sum of TotSys	Count of SysWSanSurvey	% of SysWSanSurvey
2010-12 SW CWS	44	42	95%
2010-12 GW CWS	722	615	85%
2010-14 GW NCWS	730	467	64%

5) Data Management (Task 1.1.8)

The DW program is meeting all workplan deliverables. At the beginning of the SFY12 new rules were tracked outside of SDWIS/State now ADEQ is using sample schedules in SDWIS 3.01.

Monitoring Unit continues to upload quarterly data submittals in a timely manner and has done a good job of reducing the number of data quality errors detected in the upload process. WQ Division staff has participated in recent SDWIS/State training webinars and monthly national data management conference calls. These mechanisms, along with participation in the ASDWA SDWIS User Community webspace, provide valuable information exchange and training resources. By the end of this calendar year, Region 9 intends to provide web training specific to the reporting of violations under the newer drinking water rules. Arizona is currently using SDWIS/State version 3.01. Consideration should be given to upgrading to version 3.1 which includes several burden-reduction functions to assist with new rule implementation.

WQ Division and Region 9 have made several efforts over the past year to evaluate violation/enforcement reporting issues that impact PWS scores on Arizona's Enforcement Targeting Tool (ETT) list. These issues include the "packaging" of violations in SDWIS/State, the proper association of compliance order enforcement actions to existing/new violations, state-

reported violations residing in SDWIS/Fed that no longer exist in SDWIS/State, and violation compliance period begin/end dates anomalies. WQ Division persists in having a large number of PWS with ETT scores exceeding 10 and questions continue to be raised whether or not these scores are the result of data quality issues. Consideration should be given to convening a short-time small work group of WQ Division and Region 9 PWSS, enforcement and data staff to review and document to management the reasons for the persistently high scores.

The last traditional data verification of Arizona's drinking water data was performed in 2007. Last year, data was extracted from the state's SDWIS/State database prior to upgrading to the current version 3.01 and Region 9 plans to use an electronic data verification tool (e-DV) to evaluate that data. The Region also intends to develop a tool to assess the completeness of reporting required "violation types" under new and existing SDWA rules. Completion of these activities has been delayed and the Region appreciates ADEQ's patience. We anticipate both to be completed by the end of the calendar year.

6) Outreach and Training (Task 1.1.3 and 1.1.6)

The DW program is meeting all workplan deliverables. In SFY12 Programs Unit held twelve Operator Certification ERG workshops, 3 EMP/ERP/VA workshops, and 3 Capacity Development targeted trainings.

One internal data management training was held, one is planned for FY13. The information sharing needs improvement between DW and Compliance Sections. ADEQ would like more rule and SDWIS/state training. Current SAIC training has been very well received and staff attended multiple sessions.

John Calkins has participated on the Arsenic Affordability workgroup that will prepare a Report to Congress, presented on ADEQ's use of the ETT for ETT tracker tool State/EPA audience, attended ASDWA conferences. WQ Division staff has participated in the State/EPA Capacity Development Asset Management workgroups, Program Collaboration workgroup, AZ Water Association Conference and the Data Management Users Conference via the web recordings.

7) Laboratory Certification and Quality Assurance

There is not adequate communication across programs. The Laboratory Certification program in ADHS has not supported rule development during the past SFY12. The State Laboratory is creating special training for DW operators on field sample procedures/best practices.

8) Security and Emergency Response (Task 1.1.5)

The DW program is meeting all workplan deliverables. This program has maintained a high level of coordination with other programs including capacity development and operator certification in the DW section. The program has used all its grant fund and plans to coordinate with other programs (Cap Dev and Op Cert). Three EMP workshops were conducted using the Water Protection III contract funds. WPCIII grant funds are ending FY12 and will not be provided in the near future.

State emergency response plans, protocols and preparedness should include agency and program level plans and procedures that provide more detail on when, who, where and how resources deploy to address emergency response and recovery.

Examples might include something like:

- Continuation of Operations/Continuity of Government (COOP/COG) Plans although the focus is more on maintaining program capability rather than the restoration of the regulated community.
- ADEQ Emergency Response Plan that lays out program responsibilities and roles and describes how drinking water (and the other programs) tie into and fulfill the AZ SERRP
- An Incident Management Handbook for staff that describes their responsibilities and roles; how is the program notified to activate and where do they report, self-activation, etc.
- Information that might be part plans, handbooks, etc., such as communication plans with staff roster and phone numbers, relocation plans, etc.

40 CFR 142.10(e) was ambiguous before 9/11 and Hurricane Katrina and still is even with all the national response plans and associated documents. ADEQ can create documentation that shows how program staff responds to emergencies and restore their regulated community's purpose and function in conformance with their state plan. States should on a regular frequency exercise their program plan or participate in an exercise as a component of a larger emergency exercise.

9) Operator Certification (Task 1.1.4).

The DW program is meeting all workplan deliverables. Programs Unit submitted to EPA Region 9 the Annual report. The DW program is effectively implementing an Operator Certification program. All operators eligible for ERG were given reimbursement for attending one of the twelve training events.

10) Capacity Development (Task 1.1.1, 1.1.3 & 1.1.6)

The DW program is meeting all workplan deliverables. Programs Unit submitted to EPA Region 9 the triennial Governor's Report and the Annual report. Eight (8) SE which were initiated in FY11 carried over into FY12 and were completed. FY12 eleven (11) SE were awarded to contractors.

The process to evaluate and permit a system to come into existence is: A new system must submit an application to Drinking Water Facilities Review Unit for an Approval of Construction and after construction is completed submit an application for Approval of Construction. The New system can submit an Approval of Elementary Business Plan and will then receive a Permit to Operate once all the approvals are returned from the Capacity Development team and plan review. Kathy Stevens and Janak Desai give approvals to new systems. Success of implementation of the new system capacity development control points is measured by systems getting all approvals.

Existing systems are identified for capacity development assistance through the Annual Master Prioritization List (MPL). The MPL is created by the DW Programs Unit. All Arizona CWS and NTNC are prioritized and offered a system evaluation (SE). Kathy Stevens tracks and manages the performance of third party contractors in completing SEs. Success of capacity development assistance given to existing system is measured on a case-by-case basis.

An existing system in applying for an SRF loan submits similar applications for plan review approvals as a new system does. DW Plan Review Unit is responsible for the Technical aspects of design drawings and plans and specifications. Systems are offered a SE by Programs Unit and feasibility/planning grants by WIFA. WIFA assesses financial capacity and can assist systems to get the required rate study or required rate increase. Success for an existing system that has applied for an SRF loan is measured by if the system can pay back the loan and come back into compliance (if that is the reason the system is applying for a loan).



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION IX

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MAR 06 2014

Michael Fulton
Director
Water Quality Division
Arizona Department of Environmental Quality
1110 West Washington Street
Phoenix, AZ 85007-2809

RE: FY13 End of Year Evaluation

Dear Mike:

Enclosed is our evaluation of the ADEQ's SFY13 implementation of Clean Water Act and Safe Drinking Water Act programs as described in the Integrated Workplan. The evaluation is based on commitments in the workplan, report submittals and information gathered during ongoing program conference calls. ADEQ's program implementation continues to be effective and dynamic; and our partnership continues to be productive.

As we briefly discussed in our call on January 14th and February 20th, data management commitments continue to be a concern. The two specific areas are water quality data entry into STORET and compliance monitoring data entry into ICIS-NPDES, EPA's national databases which provide for public access to data.

STORET

EPA's monitoring grant includes a condition which requires all state generated water quality data be entered into STORET. There are significant gaps in data entry (since 2005) and it is our understanding ADEQ has struggled with data transfer from the state system to the federal system due to various IT issues.

ICIS

The SFY13 and SFY14 Integrated Workplan and NPDES Memorandum of Agreement dated December 05, 2002, between the State of Arizona and US EPA Region 9 (Para III.A.7) require timely entry of compliance monitoring and enforcement data into EPA's national database, ICIS. The workplan specifies Discharge Monitoring Report (DMR) data entry within 20 days of receipt, and permit, inspection and enforcement data entry within 30 days. ADEQ intends to accomplish ICIS data entry by sending, or flowing, data from its AZURITE and ICE databases into ICIS. ADEQ has been unable to flow data into ICIS since November 2012, which has compromised EPA's ability to monitor and evaluate program performance and provide public access to information. ADEQ did not meet its workplan commitments for Task 1.4.3) for FY13 and the data issue has continued into FY14. EPA has provided contractual and technical support to ADEQ for establishing data flow protocols. Despite this assistance, project completion deadlines have continually slipped, from an initial projection of June 30, 2013. We are still awaiting completion.

In mid-FFY14, EPA will be conducting the AZ State Review Framework (SRF), an enforcement-led multi-media evaluation of ADEQ's compliance and enforcement programs, using FFY13 data. This review will be conducted using the data in ICIS as of February 14, 2014, EPA's data "freeze date". Incomplete data in ICIS will impact ADEQ's rating for the SRF. ADEQ was able to flow approximately 90% of its DMR data to ICIS prior to the SRF data freeze. However, ADEQ was not able to send its inspection and enforcement data to ICIS prior to the freeze date.

Please provide a written response by March 28, 2014 which describes the plan and timeline for resolving the data issues. The proposed plan should be discussed with EPA during the upcoming SFY14 midyear program discussions and SFY15 grant negotiations. As appropriate, EPA expects specific actions to be incorporated into the workplan(s).

Please do not hesitate to contact either of us to discuss the evaluation or the specific concerns raised.

Sincerely,



Jane Diamond
Director, Water Division



Kathleen Johnson
Director, Enforcement Division

Enclosures (2)

ADEQ Water Quality Division SFY13 EOY Assessment

The following summary reviews ADEQ's WQD SFY13 implementation of Clean Water Act and Safe Drinking Water Act programs as described in the Integrated workplan. The evaluation is based on commitments in the workplan, reports/submittals and information gathered during ongoing program conference calls. Overall, performance continues to be effective and reflect the dynamic nature of our work.

Administration

ADEQ Water Quality Division (WQD), hereafter "ADEQ" receives approximately \$4.8M annually through several EPA grants to implement water programs, excluding the State Revolving Funds.

WIFA is a separate state agency charged with implementing the Clean Water and Drinking Water State Revolving Funds. ADEQ uses Drinking Water State Revolving Fund (DWSRF) setasides for program implementation (\$4.6M).

The bulk of federal funding is awarded annually through a Performance Partnership Grant (PPG) which combines CWA 106, PWSS and NPS funds. ADEQ also receives a separate monitoring grant and NPS projects grant. ADEQ develops an annual integrated workplan covering all activities and commitments for federally and non-federally funded tasks, and is based on a SFY (July 1- June 30).

All agencies in Arizona have been bound by a legislative rules moratorium since 2009. The Governor may grant an exception if the regulatory change lessens or eases a regulatory burden. ADEQ is thus unable to update any CWA or SDWA regulations. The WQD maintains a list of regulatory changes needed and may seek approval of minor water quality standard changes in SFY14.

Clean Water Act

Regional Water Quality Management Planning

Water quality management planning for wastewater facilities continues through the CWA Section 208 process. ADEQ provided CWA 604(b) grant funds to the planning agencies, often Council of Governments (COGs). ADEQ provided technical assistance during the approval process for one 208 amendment and for thirty-three 208 Consistency Reviews. One water quality management planning agency completed their draft 208 regional plan update. Growth is still slow, and subsequently fewer 208 reviews were submitted. However, permit applications continue to be submitted for expanding facilities, renewals, and new facilities.

Ambient Monitoring

In SFY 2013 probabilistic monitoring was in the Warm Region. ADEQ supplements their statewide probabilistic monitoring with targeted monitoring: to address data gaps identified by the 305(b) planning list; to support WQS and TMDL development; to monitor Arizona's

Outstanding waters and investigate complaints. In SFY13 ADEQ collected a total of 186 surface water samples and 73 ground water samples.

ADEQ is currently involved in several projects that support development of WQS. In SFY13 ADEQ continued monitoring three effluent dependent waters, to evaluate their impact on wadeable perennial streams. As part of a four year sampling plan, ADEQ continued to collect nutrient data to support development of nutrient standards for rivers and streams. ADEQ also collected data as part of the two year rivers and streams NARS. Contract work was completed for physical integrity to assess relative bed stability as a new standard. Contracts were also used to complete intermittent stream sampling to evaluate the development of intermittent stream biocriteria water quality standards.

In SFY14 EPA looks forward to continued progress in the following areas:

- Entering all surface water quality data in STORET on a quarterly basis
- Refinement of nutrient criteria for lakes and development of nutrient criteria for rivers
- Monitoring in the cold region (>5000 feet) and statewide
- Coordinating with other ADEQ programs on monitoring in priority watersheds

Concern

EPA's monitoring grant requires all state-generated water quality data be entered into a publicly available database, STORET. ADEQ has significant gaps in data entry (since 2005) and has struggled with data transfer from the state system to the federal system due to staff IT shortages.

Water Quality Standards

In SFY13 ADEQ committed to completing work on: developing implementation procedures for antidegradation, biocriteria, bottom deposits and fish consumption standards; to initiate a WQS triennial review; and to continue work on the lakes narrative nutrient standards.

The biocriteria and bottom deposits implementation procedures were public noticed in September 2012. ADEQ met with commenters on several occasions, made revisions and prepared a response to comments. The documents are in final review. The fish consumption and antidegradation procedures await formal public review.

ADEQ submitted a request for rule making exception for SFY13, but did not receive a response from the governor in time to complete the triennial review as planned. In support of the triennial review, ADEQ held regular meetings throughout the fall of 2012 to update the status of projects and to discuss appropriate revisions and draft language; conducted research to support new or revised standards on boron, *E. Coli*, and nutrients; and identified latitude and longitude errors for surface waters in Appendix B of the Arizona WQS.

EPA supports ADEQ's efforts to develop nutrient criteria which began with lakes. ADEQ provided data and other support to the contractor re-evaluating the lakes narrative nutrient standards; collected additional data under the Nutrient Monitoring Strategy; reviewed EPA's 2013 criteria document for ammonia; and conducted a literature search on the occurrence of

freshwater mussels in Arizona. The presence of mussels would lower the applicable numeric ammonia criteria.

In SFY14 EPA looks forward to continued progress on:

- Arizona's 2014 WQS Triennial Review including some revisions accepted by the governor;
- Working with ADEQ on revisions to their Lakes Narrative Nutrient Standards and continuing work on Rivers and Streams nutrient standards development; and
- Finalizing antidegradation implementation procedures.

Water Quality Assessment and Total Maximum Daily Load (TMDL) Development

ADEQ responded to comments and revised the 2010 IR which was approved by EPA in June 2013. Simultaneously, ADEQ drafted the 2012/2014 IR. As part of the 2012/2014 IR ADEQ developed an organochlorine pesticide delist report for several reaches of the Gila River. In the SFY13 workplan, ADEQ added a new deliverable and developed water quality improvement success stories for Alum Gulch, Pinto Creek and Turkey Creek.

ADEQ met its target to finalize four TMDLs, and complete the initial public notice for three TMDLs. The Gila River suspended sediment concentration TMDLs (2) were submitted to EPA and approved in April 2013. The Little Colorado River *E.coli* TMDLs (2) were submitted for approval in June, 2013. The Alamo Lake Mercury TMDL (1) and San Pedro River *E.coli* TMDLs (3) completed a first round of public notice. ADEQ also continued to collect and analyze data for TMDLs and Implementation plans in several watersheds including Big Bug Creek, Mule Gulch, Queen Creek and Pinto Creek.

The TMDL Unit spent significant time working in EPA and ADEQ priority watersheds including the Santa Cruz River, Granite Creek/Watson Lake and Boulder Creek. ADEQ modeled data, drafted TMDLs, shared data, participated in public meetings, workgroups, and stakeholder meetings. In addition, ADEQ is participating with Region 9 in an EPA HQ led effort to develop a revised ACS measure for TMDLs (SP10).

In SFY14, EPA looks forward to continued progress on:

- Submittal of the Watson Lake and Granite Creek Nutrient and *E.coli* TMDLs to EPA and for public notice;
- Public notice of the 2012-2014 Integrated report; and
- Increasing coordination with other ADEQ and EPA programs to identify and complete TMDLs and assessments in priority watershed areas.

NPDES Permitting

ADEQ nearly met its commitment to maintain 90% of permits current (as defined by EPA). At the time of the SFY13 review, ADEQ was 89% current with 11 permits for majors, 14 permits for minors and 2 general permits expired greater than 180 days. ADEQ's permitting process was revised in 2011 to establish fee-based NPDES permits which may, in a few instances, delay permit issuance while awaiting receipt of permittee's payment.

ADEQ re-issued the Construction General Permit in SFY13. The ADOT stormwater permit renewal has been delayed although ADEQ projects its completion in SFY14. All seven municipal Phase I MS4 permits are current. The Phase II MS4 general permit currently provides coverage for 3 small cities; however based on 2010 census data, seven more communities are expected to enroll. In SFY13, ADEQ met with most of these communities to explain the Phase II program, requirements and expectations. ADEQ has developed a monitoring protocol document to help these communities implement their Phase II stormwater programs.

ADEQ, in partnership with City of Phoenix, has successfully enrolled many previous non-filers, to obtain coverage under the non-mining MSGP. This increase in future enrollees is expected to continue in SFY14.

ADEQ's CAFO permit expired in April 2009, and cannot be reissued until ADEQ's regulations can be revised to be consistent with EPA regulations. To resolve some problems associated with this expired permit, ADEQ issued an individual permit for one CAFO facility in SFY13.

In FY14, EPA looks forward to ADEQ's continued progress on permit renewals and efforts in the following specific areas:

- Quarterly updates on re-issuance of AZPDES permits from AZPDES unit to EPA's WTR-5 and WTR-5 for tracking status (while waiting for completion of software upgrades to connect the State's database and EPA's ICIS database)
- High profile permits, including Nogales IBWC, City of Sierra Vista, Asarco Mission.
- Variances from water quality standards have been requested by six AZPDES facilities
- MS4 Phase II permit development – 7 additional communities/clusters
- ADEQ's audit of 8 Ph II stormwater permits.
- Inclusion of EPA methods 245.7 or 1631 for detecting ultra low levels of mercury for assessment and compliance with effluent limitations
- Inter-office/agency program coordination on Watson Lake/Granite Creek TMDLs

Non Point Source (NPS) Program and Project (CWA 319) Management

Program implementation is based on a State Management Plan (SMP) which establishes objectives and activities to accomplish the objectives. Accomplishments are detailed in an Annual Nonpoint Source Program Report. Project oversight includes the solicitation, award and oversight of projects to improve water quality. Projects can take up to 7 years to complete. The SFY13 workplan reflects the milestones and commitments of the SMP. Beginning in SFY09 and continuing through SFY13, the NPS Program has focused on funding and providing technical support to watersheds prioritized on their Targeted Watersheds list. The key criteria for Targeted Watersheds list are the presence of NPS related impairments, as well as, local stakeholder interest and ability to effectively address impairments.

SFY13 marked the beginning of funding projects identified by local groups in their Watershed Improvement Plans (WIPs). This is a shift from state wide implementation request for proposals to targeting impaired watersheds that have local support and focused planning. WIPs have been completed for the following watersheds: Granite Creek, Oak Creek, San Francisco/Blue Rivers, and the San Pedro River. At the end of SFY13, implementation projects were awarded for Granite Creek, Oak Creek, and San Francisco/Blue River (\$1.2 million). Multiple Requests for

Grant Assistance (RFGA) were made this year in response to reducing the unliquidated obligations.

ADEQ continued to work with Arizona Department of Emergency Management on mitigating run off from the catastrophic Wallow fire.

The EPA FFY12 load reduction deadline was met, with reductions of 2,991 lbs N, 1,468 lbs P, and 800 tons of sediment. Load reductions are calculated by the University of Arizona, who developed a load reduction model specifically developed for the arid Southwest. U of A continues to provide support to DEQ on load reductions and DNA markers.

ADEQ provided technical support and conducted nonpoint source education and outreach efforts to watershed stakeholders. ADEQ provided outreach materials for youth education programs and participated in 4 watershed groups or other public meetings to discuss watershed issues on both statewide and local scales.

ADEQ also coordinated the National Water Quality Initiative, which took some time to re-convince the National Resources Conservation Service to switch their priority watershed to ones where projects funded by the Environmental Quality Incentives Program (EQIP) would have the greatest effect. The Unit also worked on multi-agency watersheds, Upper Santa Cruz River and Hillside Mine; which required cross agency coordination.

In addition to projects based on good plans in targeted watershed in the upcoming year, EPA looks forward to being involved in the revision of the NPS Strategic Management Plan.

ADEQ continues to manage, and reduce, NPS pollution adaptively in Arizona.

In FY14 project efforts will include
Santa Cruz River

EPA and DEQ will continue to work together on developing an implementable plan for reducing pollutants in the SCR.

We will be meeting in the watershed to discuss reasonable outcomes and expectations with the local groups on January 22nd.

San Pedro River

The WIP is done and proposals will be submitted in the next RFGA round. It's expected that NRCS will work with its local lead on submitting projects.

Hillside

ADEQ will work with other State agencies on a completing project without EPA financial support.

The NPS grant that was earmarked for this project needs to be extended to 2016. EPA will extend the grant once we receive a written request from DEQ for a no-cost extension.

NPS Funds

Now that the Hillside project is in limbo, EPA is concerned that ADEQ NPS funds will be difficult to obligate (\$3.2 million). EPA understands its role in the funding situation and will do everything it can to help the State obligate NPS funds within the year the funds were awarded.

Are all the match possibilities exhausted? State agency FTE (DOA, SLD) can be a match for Hillside, RCD's, or the repayment pot of SRF funds.

5-Year Plan Update

Draft timeline for finishing the SMP by June 2014 has been agreed to by Vollmer and Osterberg.

Wetlands and 404

ADEQ was directed by the legislature to evaluate 404 program assumption. In SFY13, ADEQ held stakeholder meetings to gather input. Additional meetings are expected in SFY14.

In SFY13, EPA and ADEQ worked collaboratively on the proposed Rosemont Mine. ADEQ has reviewed and commented on the EIS, has reviewed and issued permits under APP, MSGP and air and will be conducting an antidegradation analysis for the project and CWA 401 assessment for the 404 permit. EPA anticipates the collaborative process will continue in SFY14 with ADEQ on the antidegradation analysis and 401. EPA will continue to work with USFS on the EIS and the ACOE on the 404 permit.

Border

ADEQ operates and maintains an Office of Border Environmental Programs (OBEP) located in Tucson, AZ. They are responsible for border region and transboundary issues for all media activities along the US-Mexico Border Region. Specific to the Water Programs, OBEP's border engineer continued to provide high quality engineering reviews, project management and oversight, quality control and reporting in support of and in coordination with EPA's US-Mexico Border Program (PDAP and BEIF) projects. In SFY13, OBEP's border engineer stepped up to fill a void created when both EPA and the Border Environment Cooperation Commission (BECC) experienced staffing changes and performed project management tasks above and beyond his scope of work. The OBEP hydrologist has consistently provided exceptional technical support on water quality and storm water issues, oversight and reporting of spills from the International Outfall Interceptor (IOI) and outreach and training for utilities on both sides of the border. Additionally, the border hydrologist has worked tirelessly over the years to develop a sustainable industrial pretreatment program in Nogales, SN in an effort to mitigate the associated impacts to the Nogales International Wastewater Treatment plant and the Santa Cruz River. In SFY13 the pretreatment program achieved a level of functionality and an equilibrium unimaginable just a few years ago. OBEP has been invaluable in support of EPA water program efforts along the Border.

In SFY14, OBEP will continue its project management oversight of federally funded construction projects, provide technical support and assist with the oversight of the new pretreatment requirements in the AZPDES permit for Nogales. OBEP bi-weekly reports provide valuable information on efforts and activities along the Border,

Enforcement and Compliance

Inspections: ADEQ set a target of inspecting 50% of the major AZPDES permitted facilities (35 of 71) and 20% of the minor facilities (18 of 89) in SFY13. EPA's Compliance Monitoring Strategy (CMS) requires the inspection of majors once every two years (50%) and all minors inspected once in a 5 year cycle (20%). ADEQ inspected 35 major facilities and 20 minor facilities, thus meeting and exceeding the goals of the CMS for major and minor facilities, respectively. Additionally, ADEQ and SROCU responded to 23 citizen complaints related to the Clean Water Act, resulting in 21 non-routine inspections. ADEQ intends to pursue an Alternative Compliance Monitoring Strategy in response to the Auditor General's Report and non-compliance by minors.

ADEQ exceeded its stormwater inspection targets of 60 industrial and 60 construction (40 Phase 1 and 20 Phase 2) inspections in SFY13 by conducting 89 industrial, 68 Phase 1, and 36 Phase 2 construction inspections. Although EPA's CMS sets goals of 10% of all industrial facilities and 5-10% CMS goals for construction facilities, EPA has agreed to lower commitments instead seeking an inspection strategy. The CMS goals for the stormwater programs also include audits of MS4s. ADEQ did not commit to any Phase I MS4 audits but accompanied EPA and its contractor on 1 Phase I MS4 audit during SFY13. ADEQ did meet its commitments of 2 Phase II MS4 audits but have committed to 8 Phase II MS4 audits in SFY14. Responsibility for MS4 audits moved from the Compliance Section to the Surface Water Section. Coordination on audits and other stormwater inspections will be needed.

AZ has 100 CAFOs statewide covered by AZ APP permits and 2 subject to AZPDES permit. ADEQ exceeded its SFY13 target of 4 CAFO inspections by conducting 9 CAFO inspections of its permitted and unpermitted facilities. ADEQ met its SFY13 inspection targets for the biosolids program (5 POTWs and 6 land application facilities) and exceeded its target of 26 annual report reviews submitted under the biosolids rule by conducting 31 reviews.

In SFY14, EPA looks forward to continued progress in developing stormwater field capacity as ADEQ and EPA have agreed that stormwater inspections and MS4 audits are an area for improvement. Resource limitations, technical capacity and number of inspectors will continue to be an issue in meeting stormwater inspection commitments. ADEQ will continue to accompany EPA during MS4 audits to further develop skills in MS4 inspections. With limited resources, strategically focusing inspections is critical to ADEQ's program success. ADEQ and EPA will continue to communicate regularly on stormwater implementation.

Pretreatment Program: During SFY13, Arizona met all of their pretreatment targets. Specifically, ADEQ met its inspection targets (3 compliance inspections and 1 POTW SIU-oversight only inspection), auditing targets (one pretreatment audit of an approved pretreatment program) and report review targets (16 annual /semi-annual reports).

Additionally, there is a specific PPG target for ADEQ to support pretreatment work in the Ambos Nogales border region, as industrial wastewater from Mexico has caused or contributed to NPDES permit violations at the Nogales International Wastewater Treatment Plant. During SFY13, ADEQ finalized this permit and included more enforceable pretreatment to help protect

the treatment plant and its receiving water, the Santa Cruz River, from industrial pollutant discharges.

In SFY14, ADEQ has committed to an increased field presence and support to the increased pretreatment requirements for the NPDES permit issued for Nogales. EPA looks forward to ADEQ's continued progress in developing a comprehensive pretreatment program.

Data Management and Reporting: ADEQ did not meet its commitment to enter discharge monitoring reports and state inspection and enforcement actions into EPA's ICIS-NPDES national database. Due to data programming issues, ADEQ stopped flowing NPDES data into ICIS as of mid-November 2012. In the interim, ADEQ continued to enter permit and monitoring information into its state databases.

Without NPDES data in ICIS, EPA's view of discharger compliance data and state activities is severely limited. In particular, EPA cannot generate the QNCR history of major facilities in Significant Non Compliance (SNC) and the Watchlist (major facilities in SNC for 2 consecutive quarters). As a stop-gap measure, ADEQ did generate a QNVR of majors from its Azurite database. However, without the ICIS QNCR, compiling a list of SNCs and the Watchlist would require significant resource-intensive manual efforts, which neither ADEQ nor EPA could provide. ADEQ did submit its quarterly compliance reviews and reports to EPA on time.

Enforcement: In SFY13, ADEQ issued 2 Consent Orders to the Cities of Buckeye and Flagstaff, tracked the progress of 5 Administrative Orders from previous years, issued 68 Notices of Opportunity to Correct (NOCs) and Notices of Violation (NOVs) and closed 55 NOCs and NOVs. In addition, Prescott Valley agreed to a \$657,000 settlement for various wastewater spills, including a discharge of 1.6 M gallons of wastewater into the Agua Fria River in January 2010. ADEQ continues to use informal enforcement tools and anticipates new processes established by the LEAN exercise will improve overall compliance efforts.

Major facilities are flagged as being in SNC if they have acute or chronic effluent limit violations that exceed EPA's criteria for magnitude and duration. Facilities may also be flagged as SNC for late submittal of discharge monitoring reports. Given ADEQ's data management issues discussed above, neither ADEQ nor EPA could generate a list of SNC violations during SFY13. Flagging SNC violations is an important tool for targeting enforcement to the highest priority violations. State enforcement response to SNC violations is a critical measure that EPA uses in our oversight of State NPDES enforcement programs

Concerns

ADEQ's inability to flow data into ICIS from mid-November 2012 has compromised EPA's ability to monitor and evaluate ADEQ's Surface Water Compliance and Enforcement program as detailed in Task 1.4.3 introductory section, and deliverables (11)(a) and (12) of the integrated SFY13 Work Plan. The requirement for NPDES permit, compliance monitoring data and enforcement data entry is required as part of the program approval and described in the MOA. ADEQ has been aware of the need for updated data transfer protocols since 2009 and has been working on it since then. EPA HQs has provided contract help to ADEQ with expert technical assistance, which the IT Department has used in their efforts to program systems for flowing

NPDES data to EPA's ICIS database. Despite this assistance, project completion deadlines have continually slipped. The initial project completion date of June 30, 2013 is long past, with no anticipated actual completion by that date, despite being reportedly 95% complete since the week of August 9.

EPA has not been able to effectively oversee the SFY13 workplan progress, nor is it able to effectively oversee the current SFY14 workplan progress. Additionally in early FFY14, EPA will be conducting the AZ State Review Framework, an enforcement-led multi-media evaluation of compliance, using FFY13 data. Without the necessary data in ICIS, EPA will be unable to effectively conduct the review, which will result in a poor rating for ADEQ.

Safe Drinking Water Act

Public Water Supply Supervision: See separate review.

Source Water Protection

The Drinking Water Monitoring and Protection Unit manages AZ's efforts to prevent contamination of ground and surface sources of drinking water. For SFY13 Arizona continued to successfully implement their source water protection priorities: (1) evaluate most-threatening contaminant risks to drinking water sources (2) conduct public outreach/education to promote source water protection; and (3) improve the original source water assessments. In the past year, the Drinking Water Monitoring and Protection Unit continued to work closely with ADEQ's Waste Division to review UST/LUST data to target sites that potentially threaten drinking water sources. For their education tasks, they focused on five schools that own/operate a public water system to complete source water protection plans. ADEQ also worked with several other schools to develop site assessments. For public outreach, ADEQ conducted ten workshops and outreach events to inspire source water protection at the local level. ADEQ helped the City of Holbrook develop a source water protection plan and the City of Wickenburg update their wellhead protection plan. To improve the original statewide assessment, ADEQ continued to update/evaluate well location data and the database of potential contaminating activities. They began querying databases to identify community water systems with a single source of drinking water; these are more vulnerable than systems with multiple sources.

Despite their robust program, ADEQ did not meet their SFY13 target of assisting three community water systems achieve minimized risk to public health by source water protection. ADEQ states, however, that the actual numbers achieved rely on the willingness and ability of public water systems to participate in the voluntary source water protection program. They have accordingly lowered their SFY14 target to one system, reflecting the obstacles to protection. ADEQ expects to continue to fully implement their protection efforts next year to meet and perhaps exceed the SFY14 target.

Ground Water Program

The Ground Water Section of ADEQ is responsible for implementation of the Aquifer Protection Permit (APP) Program. EPA's Ground Water Office (GWO) works with ADEQ's APP Program to share information for separate underground injection permitting programs that regulate injection activities in Arizona. EPA and ADEQ coordinate on injection activities requiring both a

federal UIC permit and a state APP which have groundwater related issues and concerns. The permitting application requirements and process of the UIC and APP programs are similar, but separately implemented by EPA and ADEQ, respectively. Sharing of information and regular updates allow us to work out any inconsistencies and coordinate, where appropriate.

ADEQ also shares information on their reviews of these recharge projects to ensure that the injection of treated wastewater meets our UIC requirements for Class V injection wells.

In SFY13, we worked with ADEQ on the Morton Salt facility and the proposed Florence Copper Production Test Facility (PTF). The proposed PTF is under consideration for a federal UIC permit and is a highly opposed project by the Town of Florence. Working with ADEQ has been very successful during this grant period and useful to help meet our goal to protect underground sources of drinking water (USDW) as defined under the Safe Drinking Water Act.

In addition to coordinating on permitting projects, ADEQ provides updates of its extensive drywell (Class V injection wells) database for EPA's national UIC database. Arizona regulations require that any person who owns an existing or proposed drywell in the State must register the drywell with ADEQ. EPA also requires owners/operators of injection wells which are authorized by rule (i.e., drywells or any other Class V injection well) to submit inventory information. The drywell update from ADEQ ensures that our UIC database is up-to-date for this type of well.

The key ongoing focus area in SFY14 for the Ground Water Program will be continued coordination between ADEQ and EPA on the proposed Florence Copper Project. ADEQ's APP permit for this site was issued, and is currently under state appeal. EPA is still evaluating the project for a Class III UIC permit. Florence Copper requires both permits to be in place in order to proceed with their copper mining Production Test Facility.

FY2013 Annual ADEQ PWSS Oversight Review Report

This report provides an annual evaluation of the State of Arizona Public Water System Supervision (PWSS) program for the State Fiscal Year 2013 (SFY13) beginning July 1, 2012 through June 30, 2013. ADEQ Water Quality Division (WQD) Section Managers and Unit Supervisors participated in ongoing communication including: monthly conference calls and one in-person meeting held at mid-year to review PWSS program implementation. ADEQ WQD utilizes an Integrated Grant Workplan and biannual Output report to summarize goals and tasks supported by EPA funding sources.

Administration/Budget

The ADEQ PWSS program is funded in part by EPA through the PWSS grant (\$1.422M) integrated into a WQD-wide Performance Partnership Grant (PPG) and DW State Revolving Fund (DWSRF) set-asides. During SFY13, ADEQ has drawn down federal funds efficiently leaving no unliquidated obligations. The Compliance Section activities are mostly funded by the PWSS grant. The DW Section activities are funded by the 10% PWSS programmatic set-aside of the DWSRF, the WQD Fee Fund (WQFF), the Monitoring Assistance Program (MAP) fee fund and fee funds received from the Arizona Water Infrastructure Finance Authority (WIFA). Table 1 is a summary of the Integrated Workplan tasks and federal funding sources. All drinking water program tasks performed by the Drinking Water Section is eligible under SDWA §1452(g)(2). The Wellhead protection tasks performed by the Monitoring and Protection Unit and Compliance Section are eligible under SDWA §1452(k).

Fees from the ADEQ WQFF are used to meet the 25% federal grant matching requirements for the PWSS program. This Fee program has not been able to make up the difference in lost State General Fund allocation directed away from ADEQ. Rather, the MAP fee fund billing schedule was changed in SFY12 in an effort to retain fees in the WQFF for use by ADEQ to supplement its program resource needs. In the past, the balance of MAP fees that were available at the end of the SFY was swept. ADEQ Divisions did not get approval to move budget dollars between Divisions in ADEQ. New AZ state personnel rules took effect in FY 13. The DW Section has gained two staff members. The Compliance Section has gained one staff member for the DW Compliance program. ADEQ's Southern Regional Office (SRO) has 5 inspectors and a total of 2.5 FTE dedicated to perform Sanitary Surveys. ADEQ Phoenix office has 6 field staff to perform Sanitary Surveys and 3 case developers in the Compliance section.

Table 1: Federal Funding summary

FY13 Tasks	10% Set-aside	2% Set-aside	15% Set-aside	PPG
1.1.1 DW Plan Review				
1.1.2 DW Technical Assistance	\$9,275	TA Contract-amount to dispersed SFY13		
1.1.3 Operator Certification	\$130,222			
1.1.4 Capacity Development	\$85,446			
1.1.5 DW MAP	\$21,671			
1.1.6 DW Monitoring and Reporting	\$227,648		\$27,227	
1.4.1 DW Compliance and Enforcement	\$33,104		\$56,134	\$311,538
1.5.1 Division and Section Management	\$230,471			\$196,366
Total for PWSS program	\$737,837	\$25,518	\$83,361	\$507,904

Rule Development

The DW Section submitted three rule packages to Region 9 [Consumer Confidence Report (CCR), Public Notification (PN) and Lead and Copper Rule (LCR)]. The DW Section expects to submit additional rule packages in FY14 to include: Analytical methods sections of 40 CFR Part 141 rules, Stage 1 and Stage 2 Disinfection Byproducts Rules (DBP) and Administrative Penalty Authority. No new rule adoptions are expected given the Governor-imposed rule moratorium that remains in effect. The LCR Short Term Revision will not be adopted until this rule moratorium is lifted. ADEQ WQD is in the process of creating a policy to designate systems as outstanding performers to reduce the required frequency of sanitary surveys. The DW Section is planning to require water system operators to pay a fee to be certified by ADEQ.

Rule Implementation

The DW Section intends to expand their use of the State Safe Drinking Water Information System (SDWIS/State) to further address the Surface Water Treatment and DBP rules. New Stage 2 DBP Rule compliance determinations were not completed in SDWIS due to the limits on the current SDWIS/State version used throughout FY13. The DW Section plans in FY14 to upgrade to the most current version of the SDWIS/State version 3.21. ADEQ has created a website to allow the public to access their SDWIS/State database.

Maricopa and Pima counties have received full delegation to implement a PWSS program to include: site visits, plan review and enforcement actions. Delegated counties have fee (for service) authority with no financial support from the ADEQ. Pima County DEQ expanded their monitoring and reporting authority in FY13.

Arizona performance under the FY13 EPA National Water Program Performance Measure for Goal 2: Water Safe to Drink is summarized in Appendix A. ADEQ meets or exceeds established FY13 targets for three (SDW 2.1.1, SP-2 and 1a) of the four performance measures.

Compliance and Enforcement

The ADEQ Compliance Section has established streamlined operating processes following their Agency-wide Kaizen effort. In FY14, sanitary survey reports and Notices of Opportunity to Correct will be issued in the field. Tables 2 and 3 below show the progress made on addressing the ETT and Sanitary survey targets for FY13. Of the systems with an ETT score of 11 or above on the July 2012 ETT list, 35 remain on the Apr 2013 ETT list. ADEQ has delegated field and enforcement unit authority to Maricopa and Pima counties. No enforcement cases were referred to EPA by ADEQ in FY13.

Table 2: Enforcement Targeting Tool (ETT) performance

	Q1	Q2	Q3	Q4
Total # of Sys on ETT >=11	85	59	64	62
Total PWS removed from FY13 ETT	-	38	59	68
Remaining PWS on ETT >=11 from FY13 ETT commitment	-	47	33	34

ADEQ is meeting EPA targets for the percent of community water systems (CWSs) that have undergone a sanitary survey within the past three years (five years for outstanding performers).

Table 3: Sanitary Survey completion summary

Source type (Compliance Period)	Total # of Sys	Total Complete Sanitary Surveys	Percent Complete
SW CWS (2010-2012)	42	42	100%
GW CWS (2010-2012)	710	691	97%
GW NCWS (2010-2014)	735	520	71%

Data Management

The DW section has submitted timely SDWIS uploads every quarter. ADEQ and Region 9 will review the January 2013 SDWIS Data Quality Report and collaboratively determine high priority data quality improvement areas to be addressed in FY14. ADEQ DW Section has performed database projects to clean up old violations and will be using SDWIS/State version 3.21 in FY14. From this version of SDWIS/State, ADEQ can upgrade to SDWIS prime in the future. ADEQ will not be participating in SDWIS Prime development workgroups given resource shortfalls.

Outreach and Training

DW section staff makes presentations along with outside trainers for operators and other members of the regulated community. DW Section training events this year have focused on the DBP Rule, CCR Rule, for water operators and discharge monitoring reports for wastewater operators. Future external training events funded by the 2% DWSRF Set-aside will use a third-party contracted events planner. Internal ADEQ training for regulatory staff included EPA SDWIS, RTCR, and LCR training.

Laboratory Certification and Quality Assurance

The DW section continues to effectively coordinate with Arizona Department of Health Services (ADHS) on field testing audits. ADHS is the lab certification agency for labs within the state of AZ. The ADEQ contract with ADHS for lab certification will be terminated for FY14. New contracts with private labs will be used to meet the lab certification and capacity requirements under 142.10(b)(3)(i) and 142.10(b)(4), respectively for retention of primacy.

Security and Emergency Response

ADEQ has ongoing coordination with other agencies involved in Security and Emergency Response. Security topics are included in DW section training events. With the termination of federal water security grant funding, the DW Section depends on sponsored security events. There is one planned for FY14.

Operator Certification

DW section held seventeen operator training workshops in FY13. The DW section is working with AZ procurement office on Gateway Community College and ABC contract which will expire Aug 1. The new contract does not meet new requirements of the procurement office. EPA R9 recommends that the DW Section involve stakeholders in the Operator certification process. In FY13, the ADEQ operator certification committee did not meet as there were no operator certification rule revisions or operational changes proposed or implemented. ADEQ did not report on attending a stakeholder meeting organized by Rural Water of AZ (RWAA) in October 2012. This stakeholder meeting was a kick off of the EPA grant for Training and technical assistance and included RWAA, ADEQ, WIFA and operators from Cities in Maricopa County.

New and Existing System Capacity Development

DW section administered eight Operational Technical assistance evaluations that began in FY13 and one System Evaluation was completed in the first quarter of FY13. The Capacity development program has limited ability to provide assistance to small systems through third party contracts. ADEQ Procurement office has delayed funds going into the TA contract. The final Operations and Maintenance Manual template will be used in FY14. The Capacity Development Technical Assistance contract has not been used well and funds have not been efficiently dispersed funds.

Water System Compliance Initiative

ADEQ WQD has undertaken an effort to evaluate the barriers to water system compliance with SDWA requirements. This evaluation showed a need to focus on water systems regulated by the Arizona Corporation Commission (ACC) and by County Boards. In an effort to raise awareness and identify opportunities to assist targeted water systems, WQD held a meeting with ACC and WIFA in November. Similarly, ADEQ WQD will plan to engage the County Boards that permit the formation of domestic water improvement districts.

Water Safe To Drink: Arizona

Footnotes:

- * All results derived through SDWIS-ODS.

Government Performance and Results Act (GPRA) Reporting Periods

Measures 2.1.1, SP-1, SP-2, SP-3: Based on running average of four rolling quarters (current quarter + previous three quarters). Retrieved quarterly.

Measures SDW-1(a)/SDW-1(b): Based on surveys reported for previous three years. Retrieved annually from SDWIS-ODS.

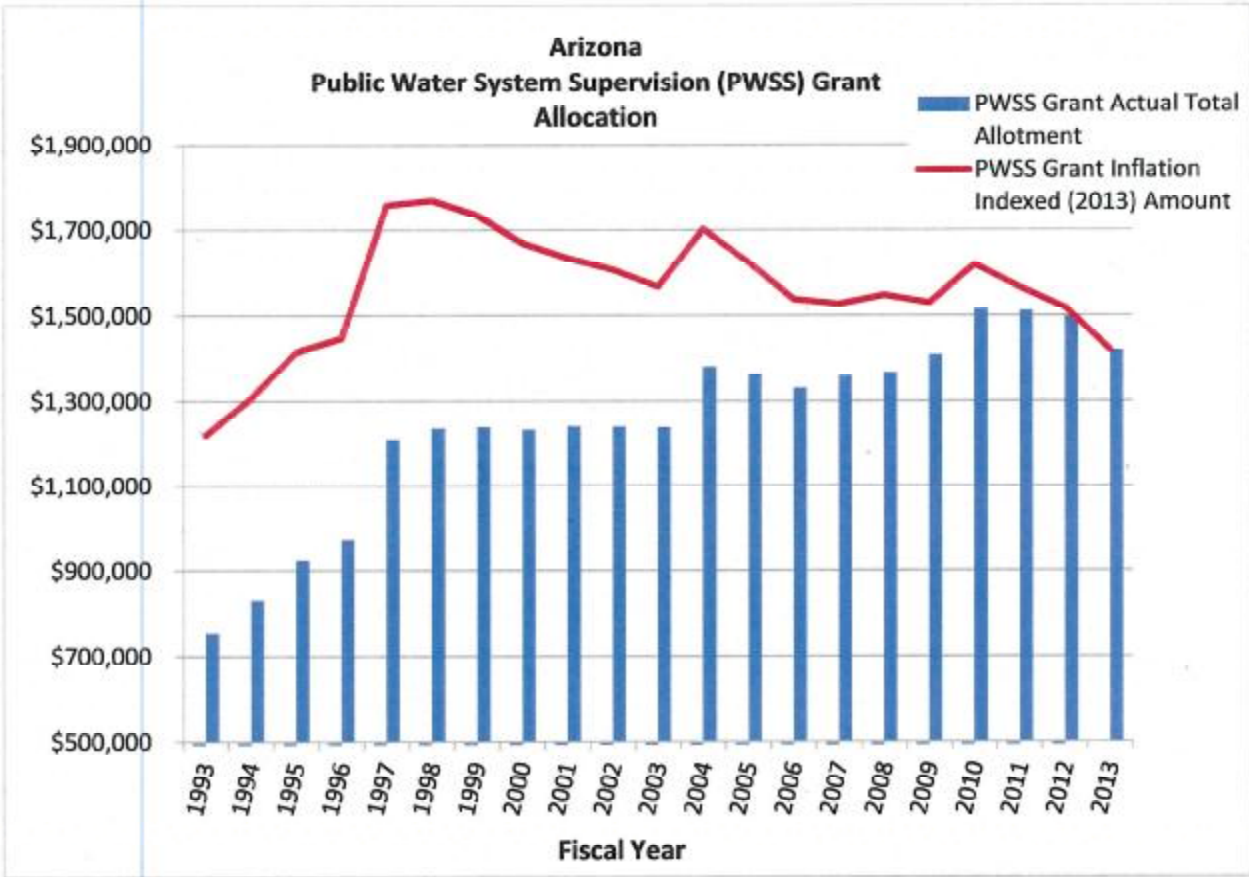
** Retrieved annually on June 30th.

Q4: Retrieved in Jan. Reflects data reported to SDWIS-Fed for the period ending 9/30/2012.

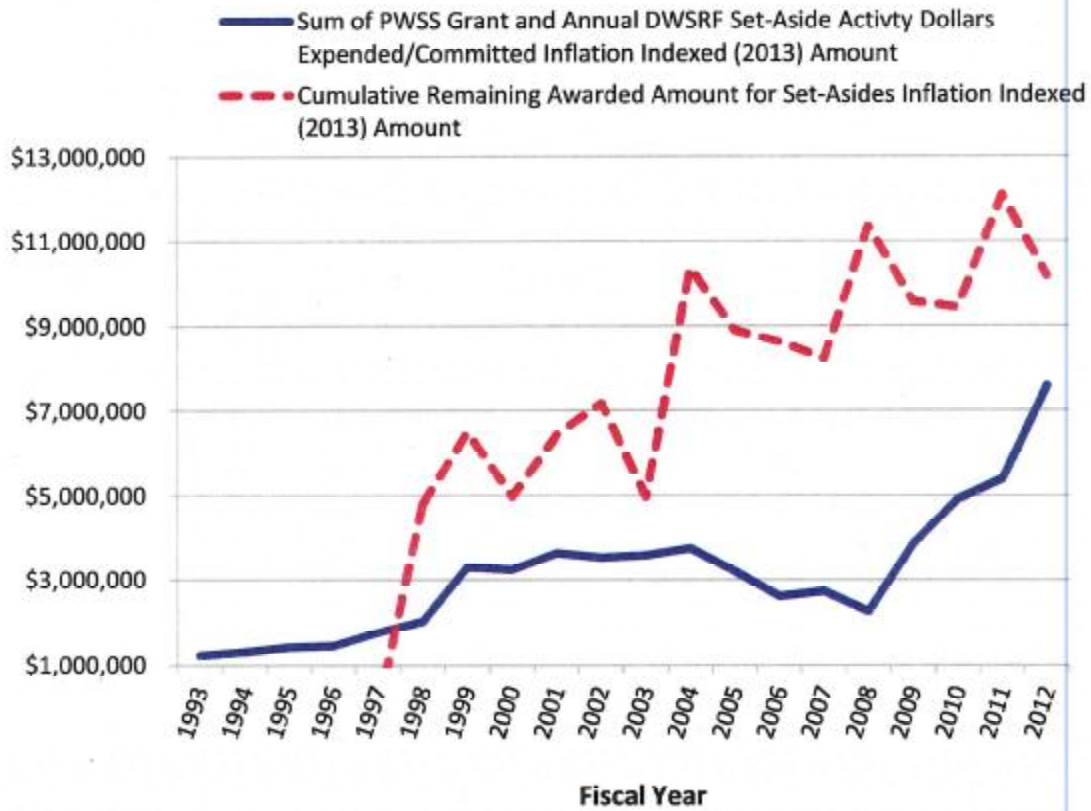
Q1: Retrieved in April. Reflects data reported to SDWIS-Fed for the period ending 12/31/2012.

Q2: Retrieved in July. Reflects data reported to SDWIS-Fed for the period ending 3/31/2013.

Q3: Retrieved in Oct. Reflects data reported to SDWIS-Fed for the period ending 6/30/2013. EOY performance data.



**Total Annual EPA Funds Utilized vs Unspent Amount
for Arizona PWSS Primacy Program Implementation**





UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION IX
75 Hawthorne Street
San Francisco, CA 94105-3901

December 23, 2014

Mr. Michael Fulton
Director
Water Quality Division
Arizona Department of Environmental Quality
1110 West Washington Street
Phoenix, Arizona 85007

Re: EPA's SFY14 End of Year Assessment

Dear Mr. Fulton:

Please find enclosed EPA's final ADEQ Water Quality Division SFY14 End of Year Assessment, which describes ADEQ's performance and accomplishments in meeting the commitments established in the SFY14 Integrated Workplan, covering the period July 1, 2013, through June 30, 2014. We appreciate the comments you provided to us on the draft report on December 12, 2014 and fully considered them in finalizing the assessment. We look forward to continuing to work together to advance improvements in water quality in SFY15.

Sincerely,

A handwritten signature in dark ink, appearing to read "Jane Diamond", is written over a horizontal line.

Jane Diamond, Director
Water Division

Enclosure

ADEQ Water Quality Division (WQD) SFY14 EOY Assessment

The following summary reviews ADEQ's performance for SFY14. The evaluation is based on commitments in the workplan, reports/submittals and considered information gathered during ongoing program conference calls.

Administration

Revenue: ADEQ Water Quality Division (WQD), hereafter "ADEQ", lost fiscal/general fund support from the state legislature in 2008 and relies heavily on federal funds to operate. Federal funds (\$10M+) represent more than 50% of ADEQ's operating budget. ADEQ receives approximately \$4.8M annually through several EPA grants to implement water programs, excluding the State Revolving Funds. ADEQ began collecting AZPDES permitting fees in FY11 and is moving forward with operator certification fees and evaluating fees for design review, and a drinking water administrative fee. However, even where fee collection has been successful, the legislature has swept the fee money from ADEQ to balance other budgets.

WIFA is a separate state agency charged with implementing the Clean Water and Drinking Water State Revolving Funds. Fees are collected by WIFA as part of the loan process. ADEQ uses Drinking Water State Revolving Fund (DWSRF) setasides (\$4.6M) and had used Water Infrastructure Financing Authority (WIFA) fees (up to \$5M) to supplement grant funds. Use of WIFA fees to offset general funds was a concern to EPA as it limited WIFA's ability to meet administrative costs and provide technical assistance to water and wastewater systems. Over the last 5 years, we urged and have worked with ADEQ to reduce and eliminate the transfer of WIFA fees.

Workplan and Grants: The bulk of federal funding is awarded annually through a Performance Partnership Grant (PPG) which combines CWA 106, PWSS and NPS funds. ADEQ also receives a separate monitoring grant and NPS projects grant. ADEQ develops an annual integrated workplan covering all activities and commitments for federally and non-federally funded tasks, and is based on a SFY (July 1- June 30). The lack of a timely federal budget continues to make it extremely challenging for ADEQ to plan and make commitments (in January for the following grant year) based on projected grant funds, thus commitments are often conservative. The draft workplan is reviewed by the relevant program leads and managers (Water and Enforcement), and followed by discussion/negotiations (in some cases, formal meetings). Previous year activities and commitments are considered to determine technical capacity and program successes and priorities. Priority setting amongst core program activities is often the focus of discussions as well as collaboration across programs. The integrated workplan provides a comprehensive look at the work being performed by ADEQ; however, tracking specific activities and expenditures is more difficult for each of the EPA grant project officers. EPA and ADEQ have implemented several changes over the last two years to improve reporting and accountability; but continued discussions are ongoing. As part of a larger effort, EPA has evaluated the tasks funded by the setasides to ensure they are eligible under SDWA§1452(g)(2) and §1452(k).

Staffing: The ADEQ WQD currently has 125 staff and is constantly recruiting to fill priority vacancies.

Rule Making: All agencies in Arizona have been bound by a Governor's rules moratorium since 2009. The Governor may grant an exception if the regulatory change lessens or eases a regulatory burden. ADEQ is thus unable to adopt new/revised drinking water regulations, NPDES pretreatment and Concentrated Animal Feeding Operation (CAFO) regulations, water quality standards and listing criteria. This has hindered implementation, e.g., the lack of approved antidegradation procedures to use for the proposed Rosemont project on impacts to Davidson Canyon and Cienga Creek, Outstanding Arizona (Tier 3) waters and EPA retains primary enforcement authority for federal rules that have not been adopted and codified in State law (i.e., Lead and Copper Rule Short Term Revisions). The ADEQ WQD maintains a list of regulatory changes needed and may seek approval of minor water quality standard changes in SFY15.

EPA Oversight: EPA and ADEQ's partnership is formalized in the Arizona Accord. The Accord is an agreement describing our relationships and joint efforts to protect human health and the environment. This supplements MOAs associated with program approval and delegation. EPA program leads hold monthly or quarterly calls with ADEQ program counterparts as well as an official midyear and end-of-year reviews. EPA Water Division and EPA Enforcement Division work together to oversee program implementation.

The workplan defines outputs and reporting. Review of outputs is by the program. Separate accountability tools are used as well to assess progress, e.g. monthly ICIS reports on permit issuance, or routine program calls. With multiple funding sources, the various grant projects officers also coordinate efforts. Although the annual SRF grant is awarded to WIFA, the SRF PO coordinates with the ADEQ PPG PO and program leads to ensure effective accountability.

Clean Water Act

Ambient Monitoring

The Monitoring Unit is responsible for collecting water quality data for Arizona's streams, lakes, and groundwater. Starting in September 2014 this Unit will also be responsible for preparing Arizona's 303(d) list and 305(b) integrated Report. Water quality monitoring is intended to characterize baseline water quality conditions, support the 303(d) and 305(b) assessment process, evaluate compliance with water quality standards (WQS) and provide data to support the development of new and revised WQS and TMDLs. ADEQ uses a probabilistic monitoring design and covers the state in a 5-year cycle by monitoring in either the warm water (below 5000 feet) or cold water (above 5000 feet) sites each year.

In SFY14, ADEQ committed to conducting stream and lake monitoring per the SFY14 Sampling and Analysis Plan throughout Arizona, fish tissue sampling and to prepare a SAP for SFY 2015. ADEQ also committed to completing a report on physical integrity and intermittent streams, conducting nutrient monitoring in rivers and streams, effluent dependent water monitoring and participating in the National Aquatic Resource Survey (NARS).

In SFY14 ADEQ met their monitoring targets for all monitoring deliverables. They collected a total of 147 surface water samples and over 36 sites were sampled quarterly at primarily coldwater sites throughout Arizona. The ambient monitoring group also collected 51 groundwater samples in the Lower Gila and Harquahala basins.

ADEQ submitted the final reports for relative bed stability and intermittent streams and index of biological integrity (IBI). ADEQ continues to sample for biocriteria with a focus on nearly perennial streams, and is continuing to develop an IBI for intermittent streams. Work was completed for physical integrity to assess relative bed stability as a new standard.

Although not reflected in the 2014 EOY report, ADEQ has now fixed the issue with entering all surface water quality data into the STORET/WQX database on a quarterly basis (See Task 1.5.3 Deliverable 2c and 4 in SFY 2014 workplan, and March 2014 letter to Mike Fulton from Jane Diamond regarding data management). All data is flowing to WQX on a daily basis and all missing data is now loaded (265,000 surface water records, macroinvertebrate, and fish data were loaded).

In SFY15 EPA looks forward to continued progress in the following areas:

- Monitoring in the warm region (<5000 feet) and
- Coordinating with other ADEQ programs to integrate monitoring and assessment with work in priority watersheds.

Water Quality Standards

The Surface Water Section (SWS) is responsible for water quality standards (WQS) and policy development. The 2015 Integrated Work plan dedicates a total of \$99,606 EPA NPS and PPG funding to WQS deliverables. There is a “rules moratorium” in Arizona requiring most WQS actions to receive approval from the State Governor. This makes it difficult to revise Arizona WQS. Upon retirement of the standards unit manager, ADEQ absorbed the WQS unit staff into the Ambient Monitoring Group. The standards program responsibilities are shared among the division rules writer, senior technical advisor, senior hydrologist and the Surface Water Section manager.

In SFY14 ADEQ committed to completing work on: 1) finalizing implementation procedures for antidegradation and fish consumption standards; 2) to initiate and complete a WQS triennial review (public notice of revised WQS); and 3) to continue work on the lakes narrative nutrient standards.

ADEQ did not complete any work on their implementation procedures for antidegradation and fish consumption procedures, and has rescheduled completion for June and January of 2015, respectively, in the SFY2015 workplan.

ADEQ did not meet the April 2014 target date for completing the 2014 WQS Triennial Review, and the new target date is January 2015. ADEQ spent significant time on the draft WQS including sharing the draft with EPA in February 2014, verifying corresponding latitude and longitude descriptions for each listed waterbody in Sections 109.F (Waterbodies with Nitrogen and Phosphorus criteria), 112.G (Outstanding Arizona Waters) and Appendix B using aerial photos, and checking permits and effluent dependent water status in order to have consistent language describing reach descriptions.

ADEQ did not meet their deadline in the workplan to finalize the narrative lakes nutrient criteria and has moved the target date to June 2015. ADEQ provided data, assisted in database setup, troubleshooting and gave other support to the contractor re-evaluating the lakes narrative nutrient standards. ADEQ also attended the nutrients workshop in Sacramento in August to present updated findings.

Concerns:

EPA notes that ADEQ did not complete work on the implementation procedures for antidegradation and fish consumption tasks in 2013 or 2014, and the 2014 Triennial Review has taken longer than expected. EPA will be meeting quarterly with ADEQ to discuss progress on these items and other WQS work. If SFY 2015 milestones are not met, EPA will work with ADEQ to revise the workplan and/or reallocate money to other tasks as appropriate.

In SFY 2015 EPA looks forward to continued progress on:

- Finalizing antidegradation and fish consumption implementation procedures;
- Arizona's 2014 WQS Triennial Review starting the public comment period in November 2014; and
- Providing support to help ADEQ finalize their Lakes Narrative Nutrient Standards.

Water Quality Assessment and Total Maximum Daily Load (TMDL) Development

The TMDL and Assessment Unit is responsible for assessing statewide water quality data and developing the Arizona 303(d) list of impaired waters and 305(b) integrated report (IR). Starting in September 2014, the Unit will split up. TMDL development will merge with the Non-Point Source Unit to better integrate development of TMDLs and watershed implementation plans. Water quality assessment will move to the Monitoring Unit.

In 2014 ADEQ committed to submitting the 2012/2014 303(d) list to EPA for final approval; and to submitting six TMDL reports to EPA for final approval, and to public notice three additional TMDLS. Other commitments in the workplan included: data collection and analysis for TMDL development, and conducting effectiveness monitoring.

ADEQ did not meet their target date of 4/14 to submit the 2012/2014 303(d) list to EPA. ADEQ spent significant time meeting with stakeholders to resolve the 2010 Pinto Creek 4A appeal which was withdrawn in July 2014. ADEQ is expecting to submit the list to EPA for approval by December 2014.

ADEQ completed five TMDLs falling just short of their target to complete six TMDLs. The Lower San Pedro *E.coli* TMDL was approved by EPA in November 2013 (counts as three TMDLs), and the Little Colorado River *E.coli* TMDL (counts as two TMDLs) was approved in August 2013. In addition, the Watson Lake nutrient TMDL (counts as three TMDLs) was public noticed in April 2014.

While the ADEQ did not meet all of their targets, they completed other work including:

- Responding to comments from multiple stakeholders, and making significant revisions to Watson Lake TMDL targets;

- Revising the Granite Creek E.coli TMDL;
- Drafting the Gila River Selenium and Boron TMDL;
- Participating in Santa Cruz data assessment and watershed meetings;
- Preparing delist reports for the 2012/2014 303(d) and 305(b) report; and
- Participating in EPA HQ pilot test of the new WQ-27 and WQ-28 measures.

In SFY15, EPA looks forward to:

- Submittal of the Watson Lake and Granite Creek Nutrient and *E.coli* TMDLs to EPA;
- Submittal of the 2012/2014 integrated report to EPA; and
- Revision of Task 1.3.8.1 in SFY 2015 workplan to include ADEQ's participation in piloting the TMDL New Measures with EPA HQ.

NPDES Permitting

The principal task of the two permitting units in the Surface Water Section (SWS) is timely issuance of new and reissued permits to facilities subject to the CWA.

Highlights:

In FY14, ADEQ continued to issue permits in a timely manner, generally meeting the target of 90% current. ADEQ reported in their FY14 output report that 95% of permits are current; however, since the ICIS database is not up-to-date, it was difficult to confirm this result. EPA estimated ~89% current based on permit status data provided by ADEQ and ICIS. According to ADEQ, 31 permit renewals, one (1) new permit, and two (2) permit modifications were issued. In addition, one (1) permit was denied, two (2) were terminated, and two (2) renewal applications were withdrawn and the permits expired.

ADEQ also continued to issue permits of excellent quality, including appropriate technical and water quality-based requirements such as more sensitive methods for mercury and implementation of a new, more easily tracked and enforceable ammonia limitation (the ammonia impact ratio). Fact sheets were also clear and concise. A major accomplishment of FY14 was ADEQ's final issuance of the Nogales IBWC permit, which included more enforceable pretreatment requirements to help protect the treatment plant and its receiving water, the Santa Cruz River, from industrial pollutant discharges from Mexico.

ADEQ completed 8 audits of Phase II MS4 permittees, meeting the FY14 workplan target. These audits included reviews of stormwater management plans.

Concerns:

1. Reorganization: ADEQ reorganized in FY14, moving the wastewater permitting unit (AZPDES Individual Permits Unit) to the newly named Water Permits Section, coupling it with the Aquifer Protection Permits Units. Although this creates a positive opportunity to coordinate between both clean water act and safe drinking water act permitting programs, this reorganization has created distance between the wastewater and stormwater AZPDES permitting programs, as the Stormwater and General Permits Unit continues to be housed within the Surface Water Section. EPA encourages the AZPDES Individual Permits Unit and the Stormwater and General Permits Unit to continue to

coordinate and share information and will expect joint mid-year and end-of-year meetings to be held with EPA.

2. ICIS Permit Status Information: As indicated above, the ICIS database is still out of date regarding permit status information. In addition, most of the general permits are not listed in the database. EPA encourages ADEQ to update this information so that ADEQ can receive national credit for their accomplishments. ADEQ is participating in regular meetings with IT to resolve this issue.
3. ADOT MS4: ADEQ did not meet the schedule in the FY14 workplan to issue this permit in FY14. ADEQ provided EPA a draft permit for review and EPA subsequently sent comments to ADEQ on September 10, 2014.
4. Phase II MS4 General Permit: ADEQ established a new schedule for re-issuing the Phase II MS4 General Permit and held the first stakeholder meeting on May 21, 2014, but did not meet the milestone date (8/14) to provide EPA a draft permit for review. The anticipated date to finalize and reissue the permit is June 2015. EPA is concerned about the long delay in issuing the permit. The permit expired in 2007, and ADEQ explained in the FY14 end of year meeting that they were waiting until the 2010 Census to bring in more permittees; however, the planned issuance of this permit was listed in the FY12, FY13, FY14, and FY15 workplans. This issue was discussed on the September 4, 2014 ADEQ/EPA management call, where ADEQ agreed to follow-up on the draft permit status.

Other Updates:

1. At the ADEQ/EPA mid-year meeting, ADEQ and EPA agreed to remove the development of new general permits for groundwater remediation and discharges to urban lakes/reservoirs from the workplan. If resources allow, these may be developed in the future.
2. The FY14 workplan included a target of 8 Phase I MS4 SWMP reviews. This was clarified in the FY15 workplan as reviews of annual reports, not SWMPs. SWMPs are reviewed during audits.

Follow-up Actions:

1. ADEQ will include suggested changes to the FY15 workplan to reflect the revised issuance schedule for the ADOT MS4 permit.
2. ADEQ will follow-up on the status of the draft Phase II MS4 general permit and provide it to EPA.

Non Point Source (NPS) Program and Project (CWA 319) Management

The Grants and Outreach Unit in the Surface Water Section has the lead for the Non Point Source Program. The Program is comprised of program implementation and project oversight. Program implementation is based on a State Management Plan (SMP) which establishes objectives and activities to accomplish the objectives. Accomplishments are detailed in an

Annual Nonpoint Source Program Report. Project oversight includes the solicitation, award and oversight of projects to improve water quality.

ADEQ's Grants and Outreach Unit, which is now the Watersheds Protection Unit, has done a lot of great work this past year. We've seen an adoption of a new Performance Measure, an updated approvable NPS Management Plan, Targeted Watersheds are implementing projects, and fostering of great inter and intra agency coordination.

This past year DEQ adopted a Performance Measure "to improve water quality in 50% of monitored waters of the State over 5 years." This will be a driver for ADEQ and EPA to show water quality improvements in Arizona.

Krista Osterberg has put in an extraordinary amount of effort writing Arizona's 5-Year Nonpoint Source Management Plan. Current drafts of the Plan have shown ADEQ's commitment to improving water quality in Arizona. We expect to approve a final version Plan in October of 2014. Working on the Plan has delayed submittal of the NPS Annual Report, we understand finishing the Plan is the priority.

ADEQ has targeted 8 watersheds to focus NPS efforts in. All watersheds have begun NPS work, where each watershed has some level of work going on, from community planning to implement restoration projects, project applications, and project implementation. ADEQ continues to improve their funding timeline. In previous years, we saw 15 month turnaround from the time EPA awarded the grant to when ADEQ awarded NPS projects. ADEQ is now at 6-9 month turnaround and the goal is 3 months.

Interagency coordination is also a highlight from the past year. ADEQ Water staff has made significant progress in utilizing other state and federal agency resources to move the Hillside Mine remediation project forward. NRCS through NWQI, and the USFS through implementation coordination, have shown to be great partners in assisting implementation in targeted watersheds.

Region 9's Watersheds Office looks forward to working with the new Watersheds Protection Unit on implementing the states 5-Year NPS Management Plan.

Wetlands and 401

EPA reviewed the FY14 Final Output Report regarding 401 CWA actions. There is one Task 1.3.2: CWA 401 Certification Review of Federal Permits and Licenses. The deliverables require a table of the 401 certifications processed including the type of permit, project name, action and date of action.

ADEQ complied with Task 1.3.2 and provided a table of 401 actions.

The Wetlands Section does not conduct EOY meetings with ADEQ. To address issues regarding implementation of the 401 program, EPA staff work with ADEQ staff on a project-by-project basis to resolve water quality concerns.

Border

ADEQ operates and maintains an Office of Border Environmental Programs (OBEP) located in Tucson, AZ. They are responsible for border region and transboundary issues for all media activities along the US-Mexico Border Region.

ADEQ has provided excellent engineering support for our wastewater and drinking water projects in Arizona, with timely and useful review of project designs at various stages of project development, Value Engineering studies, and energy/water audit reports. In June 2014, our main border project engineer – truly our engineering eyes and ears on the ground in Arizona - left ADEQ, so there is currently a lull in this level of support. We look forward to hearing ADEQ's plans for backfilling this vacancy.

CWA Enforcement and Compliance

Inspections: The Water Quality Compliance Section (WQCS) and the Southern Regional Office Compliance Program Unit (SROCU) are responsible for all field work for the Division. ADEQ set a target of inspecting 50% of the major AZPDES permitted facilities (35 of 71) and 20% of the minor facilities (18 of 89) in SFY14. EPA's 2007 Compliance Monitoring Strategy (CMS) requires the inspection of majors once every two years (50%) and all minors inspected once in a 5 year cycle (20%). ADEQ inspected 26 major facilities and 36 minor facilities, thus exceeding the CMS goals for minor facilities, but missing the CMS goals for major facilities by 9 inspections. ADEQ has explained that when it became apparent at mid-year that its Alternate Compliance Monitoring Strategy (ACMS) would not be approved, the lateness in planning and unforeseen staff vacancies impacted its ability to inspect the remaining major facilities. ADEQ has hired more inspectors and expects to meet its inspection targets for major facilities in SFY15. Additionally, ADEQ and SROCU responded to 59 citizen complaints related to the Clean Water Act, resulting in 24 non-routine inspections. ADEQ still intends to pursue a risk-based ACMS (subject to compliance with EPA's 2014 CMS) in response to the AZ Auditor General's Report citing non-compliance by minors.

ADEQ exceeded its stormwater inspection targets of 50 industrial and 50 construction (30 Phase 1 and 20 Phase 2) inspections in SFY14 by conducting 153 industrial, 64 Phase 1, and 53 Phase 2 construction inspections. Although EPA's CMS sets goals of 10% of all industrial facilities and 5-10% CMS goals for construction facilities, EPA has agreed to lower commitments instead of seeking an inspection strategy. The CMS goals for the stormwater programs also include audits of MS4s. Responsibility for MS4 audits moved from ADEQ's Compliance Section to the Surface Water Section in SFY14. See the NPDES Permitting Section of this report for a discussion of SFY14 progress in the MS4 program.

AZ has 100 CAFOs statewide covered by AZ APP permits and 2 subject to AZPDES permits. ADEQ exceeded its SFY14 target of 1 CAFO inspection by conducting 35 CAFO inspections of its permitted and unpermitted facilities. ADEQ exceeded its SFY14 inspection targets for the biosolids program (5 POTWs and 8 land application facilities) with 6 POTWs and 9 land application facilities. ADEQ also exceeded its target of 26 annual report reviews submitted under the biosolids rule by conducting 34 reviews.

In SFY15, EPA looks forward to continued progress in developing stormwater field capacity as ADEQ and EPA have agreed that stormwater inspections are an area for improvement. Resource limitations, technical capacity, and number of inspectors will continue to be an issue in meeting stormwater inspection commitments. With limited resources, strategically focusing inspections is critical to ADEQ's program success. ADEQ and EPA will continue to communicate regularly on stormwater implementation.

Pretreatment Program: Arizona has delegated authority to implement the federal pretreatment regulations. Core regulatory duties are as follows:

- 1) Review all annual and semi-annual reports submitted by POTWs with approved pretreatment programs.
- 2) Conduct pretreatment compliance audits (at least once every five years for each approved POTW pretreatment program).
- 3) Conduct pretreatment compliance inspections (at least twice every five years for each approved POTW pretreatment program).
- 4) Perform annual inspections of POTWs with SIU-oversight-only pretreatment programs (at least once every five years for each program).
- 5) Review and approve pretreatment program submittals and modifications.

Additionally, there is a specific PPG target for ADEQ to support pretreatment work in the Ambos Nogales border region, as industrial wastewater from Mexico has caused or contributed to NPDES permit violations at the Nogales International Wastewater Treatment Plant (NIWTP). During SFY14, ADEQ continued to work with wastewater representatives in Nogales, Arizona, and Nogales, Sonora, to support implementation of the new pretreatment conditions in the NPDES permit issued to the NIWTP.

During SFY14, Arizona met all of their pretreatment targets. Specifically, ADEQ met its inspection targets (6 compliance inspections and 4 POTW SIU-oversight only inspections), auditing targets (2 pretreatment audits of approved pretreatment programs), and report review targets (16 annual/semi-annual reports). ADEQ also approved three new pretreatment programs during SFY14.

In SFY15, EPA looks forward to ADEQ's continued progress in pretreatment commensurate with its increased target numbers.

Data Management and Reporting: Just as in SFY13, ADEQ did not meet its commitment to enter discharge monitoring reports and state inspection and enforcement actions into EPA's ICIS-NPDES national database in SFY14. Due to data programming issues, ADEQ stopped flowing NPDES data into ICIS as of mid-November 2012. In the interim, ADEQ continued to enter permit and monitoring information into its state databases.

Without NPDES data in ICIS, EPA's view of discharger compliance data and state activities is severely limited. In particular, EPA cannot generate the QNCR history of major facilities in Significant Non Compliance (SNC). As a stop-gap measure, ADEQ did generate a QNVR of majors from its Azurite database. However, without the ICIS QNCR, compiling a list of SNCs

would require significant resource-intensive manual efforts, which neither ADEQ nor EPA could provide. ADEQ did submit its quarterly compliance reviews and reports to EPA on time.

Enforcement: In SFY14, ADEQ filed 1 civil complaint, issued 8 Administrative Orders, closed 2 Administrative Orders and 1 Consent Decree, issued 58 Notices of Opportunity to Correct (NOCs) and Notices of Violation (NOVs) and closed 43 NOCs and NOVs. ADEQ continues to use informal enforcement tools and anticipates new processes established by the LEAN exercise will improve overall compliance efforts.

Major facilities are flagged as being in SNC if they have acute or chronic effluent limit violations that exceed EPA's criteria for magnitude and duration. Facilities may also be flagged as SNC for late submittal of discharge monitoring reports. Given ADEQ's data management issues discussed above, neither ADEQ nor EPA could generate a list of SNC violations during SFY14. Flagging SNC violations is an important tool for targeting enforcement to the highest priority violations. State enforcement response to SNC violations is a critical measure that EPA uses in our oversight of State NPDES enforcement programs

Concerns:

ADEQ's inability to flow data into ICIS from mid-November 2012 has significantly impacted EPA's ability to monitor and evaluate ADEQ's Surface Water Compliance and Enforcement program as detailed in Task 1.4.3 of the integrated SFY14 Work Plan. The requirement for NPDES permit, compliance monitoring data and enforcement data entry is required as part of the program approval and described in the MOA. ADEQ has been aware of the need for updated data transfer protocols since 2009 and has been working on it intermittently since then. Since February 2013, EPA HQs has provided contract help to ADEQ with virtually unlimited expert technical assistance, which ADEQ's IT Department has used in their efforts to program systems for flowing NPDES data to EPA's ICIS database. Despite this available assistance, project completion deadlines established by the IT Department have not been realistic, as evidenced by extended project completion dates with almost every bi-weekly status report. The initial project completion date of June 30, 2013 was last officially extended by ADEQ to January 17, 2014 with no actual completion by that date, despite being reportedly 95% complete since the week of August 9, 2013.

EPA was not able to effectively oversee the SFY13 and SFY14 workplan progress, nor is it able to effectively oversee the current SFY15 workplan progress. Additionally, EPA's ability to conduct the AZ State Review Framework, an enforcement-led multi-media evaluation of compliance using FFY13 data, was severely impacted. ADEQ missed the February 19, 2014 data "freeze" HQs deadline; the data was finally manually "frozen" on June 16, 2014, but it proved to be unreliable with many errors. During the SRF site visit the week of July 7, 2014, problems with the data, such as the number of facilities actually in SNC, remained. As of the SFY14 EOY discussion on August 26, 2014, the ICIS data still could not be used reliably.

Safe Drinking Water Act

The annual end of year program evaluation of the Arizona Public Water System Supervision (PWSS) Program was conducted via conference call on October 30, 2014. The program evaluation covers activities implemented under the ADEQ Water Quality Division (WQD) Drinking Water and Compliance Sections for State Fiscal Year 2014 (SFY14) beginning July 1, 2013 through June 30, 2014. The program activities were supported in part with federal funding provided under SDWA Section 1443(a) Grants to States and under Section 1452(g) State Revolving Loan Funds. The FY14 allotment to the Arizona PWSS program was \$1.439M.

During this past year, organizational changes were made to the ADEQ WQD at the Unit level. All WQD engineering review units were combined and moved to the DW Section from the Groundwater (GW) Section. The DW Program Unit gained two new staff members from the APP Unit in the GW Section to support capacity development and operator certification programs. During the course of the year, the DW program filled three (3) positions vacated by retirements. The Monitoring & Protection Unit has two vacant positions, a unit supervisor that moved to a senior technical staff position and a source water protection specialist. The Compliance Section combined the Enforcement and Data Units reducing the number of units from four to three. Three (3) field inspectors have separated from ADEQ whose vacancies are to be filled in the next fiscal year.

Rule Development

Efforts are underway with the delegated county agency, Maricopa County, to develop the state implementation plan for the newly revised Total Coliform Rule (rTCR). The revised rule will impact the Consumer Confidence Rule and Public Notice primacy revision crosswalks submitted in SFY13 and which will need to be amended to address the new rTCR provisions. The DW section needs to complete the primacy revision packages for Stage 1 D/DBPR, Stage 2 D/DBPR, and primacy crosswalk of ADHS sections of Arizona Administrative Code including the updates mandated by the rTCR which were to be submitted in FY14. Arizona's Administrative Penalty Authority was submitted to EPA Region 9 in FY14 and is undergoing review by the Region.

Data Management

ADEQ's use of the most current version of SDWIS/State (Version 3.21) will position the State to transition to SDWIS/Prime in the future. ADEQ plans to delay transition until SDWIS/Prime is fully capable to address rTCR tracking and all add-on applications are functional. EPA recommends development of a transition plan for migration of data to SDWIS-Prime. ADEQ does not have the resources to participate in SDWIS Prime development workgroups led by EPA. Planning is ongoing but EPA does not know when to expect their use of SDWIS lab-to-state. The DW Section has made significant progress to achieve a low error rate for quarterly inventory, actions and sample data uploads to SDWIS/Fed and performs better relative to other states with few inventory errors and a few violation errors (mainly 430 violation "package" errors), down from 2011 but up from 2013.

The DW Section has prioritized the correction of treatment data ID and treatment plants without treatments. Data quality reporting issues to SDWIS/Fed include: number of Open-Ended Violations Greater than Five Years Old including many CCR (71) and some LCR (51/52) violations. The DW Section reviews water systems that have not had 90th percentile lead levels reported to SDWIS/Fed to determine if the missing data results from non-compliance, data entry issues, or problems with reporting the data to EPA. The DW Section will document required violation data that they do not report to SDWIS/Fed and assess barriers to full reporting.

Rule Implementation and Outreach and Training

ADEQ uses the automatic compliance determination modules in SDWIS/State for all rules with the exception of the Surface Water Treatment and Public Notification rules. This ensures that compliance determinations are being made accurately and consistently as violations are posted.

The county delegation agreements for Maricopa and Pima counties were extended through year 2050. Pima County Department of Environmental Quality (PDEQ) has an expanded delegation agreement for most engineering review approvals (Line Extensions, Production Well Facilities, Storage Facilities, and Other Treatment Facilities all limited to privately-owned facilities). Unlike Maricopa County Environmental Services Department (MCESD), PDEQ cannot permit Point-of-Use treatment units or Blending facilities. MCESD and PDEQ are both delegated Compliance and Enforcement and sanitary survey authority for a total 217 PWSs and 170 PWSs, respectively. PDEQ can also make the determination that the geological report for on-site wastewater treatment facilities demonstrates total nitrogen loading from the treatment facilities to groundwater is controlled and does not contribute to a violation of the Aquifer Water Quality Standard for nitrate at the applicable point of compliance. The total inventory of delegated PWSs under county jurisdiction, excludes those owned by the Federal government or the state, or those owned or operated by the counties, or by special districts subject to the control of the counties.

ADEQ continues to provide state-wide rules training events. The number of on-site inspections for FY14 to meet National Program measure SDW-1(a) for sanitary surveys as shown in the table below.

Sanitary Survey completion summary (10/2014)

Source type (Compliance Period)	Total # of Sys	Total Complete Sanitary Surveys	Percent Complete
SW CWS (CY2011-2013)	42	41	98%
ADEQ (inc SRO)	27	27	100%
MCESD	15	14	93%
GW CWS (CY2011-2013)	703	630	90%
ADEQ (inc SRO)	496	449	91%
MCESD	89	80	90%
PDEQ	118	101	86%
NCWS (CY2010-2014)	787	766	97%
ADEQ (inc SRO)	631	613	97%
MCESD	111	110	99%
PDEQ	41	41	100%

The SFY14 Enforcement Targeting Tool (ETT) performance is shown in the table below. While the Compliance section has not been able to significantly reduce the “total” number of priority systems on the ETT over the course of the year, the State has been able to address the systems that were formally listed on the July 2014 ETT in meeting their commitment in the SFY14 workplan.

SFY14 Enforcement Targeting Tool (ETT) performance

	Q1	Q2	Q3	Q4
Total # of Sys on ETT >=11	91	110	106	99
Total PWS removed from ETT in SFY14	-	32	57	55
Remaining PWS on ETT >=11 from SFY14 ETT commitment	-	59	47	35

Laboratory Certification and Quality Assurance

Arizona Department of Health Services (ADHS) remains the lab certification agency for drinking water labs within the state of AZ. The ADEQ contract with ADHS for laboratory capacity was eliminated in SFY14 as a cost saving measure. Rather, a contract with a private lab has been put in place that meets the primacy requirements found at 40 CFR 142.10 for ensuring analytical capability for existing national primacy drinking water regulations. ADEQ will need to provide an annual assurance letter to EPA for meeting primacy requirements under 40 CFR 142.10.

Security and Emergency Response

ADEQ has not invested in Security and Emergency Response training events since the elimination of separate federal grant funding for water security activities. AZ operators across the state depend on EPA and FEMA sponsored training and the Maricopa County Waterborne Disease Taskforce for emergency response preparedness.

Operator Certification

ADEQ has not held an Operator Certification stakeholder meeting of the 11 member certification committee. EPA program guidelines require ongoing stakeholder involvement during the revision and operations of State operator certification programs. Ongoing stakeholder involvement is important to meet the public health objectives of the program. ADEQ is planning to hold a stakeholder meeting to discuss Operator Certification fees in SFY15. EPA does not want to limit stakeholder involvement to the operator certification program to the official committee. EPA encourages ADEQ to report on all opportunities for stakeholders to give input to the program including RWIC meetings and Rural Water Association of Arizona conferences involving ADEQ.

New and Existing System Capacity Development

The Capacity Development program has not significantly changed since first developed with the exception of reduced outreach to existing systems. The vacancy left by Capacity Development coordinator Kathy Stevens was quickly filled. No change in the number of System Evaluations

or follow up third-party technical assistance occurred this past year. The Water System Compliance initiative held a second meeting of co-regulators (ADEQ- Drinking Water and Compliance Sections, ADEQ Southern Regional Office, WQD Director's office, WIFA, ACC and the delegated county agencies). The Water System Compliance Initiative will remain a priority focus for SFY 15.

Findings and Recommendations:

1. Three (3) field inspectors have separated from ADEQ whose vacancies are to be filled in the SFY15.
2. The Drinking Water Section needs to complete the primacy revision packages for Stage 1 D/DBPR, Stage 2 D/DBPR, and Primacy crosswalk of ADHS sections of Arizona Administrative Code including the updates mandated by the rTCR which were to be submitted in FY14.
3. EPA recommends development of a transition plan for migration of data to SDWIS-Prime.
4. The Drinking Water Section has made significant progress in achieving a low error rate for reporting quarterly inventory, actions and sample data to SDWIS/Fed, performing better relative to other states.
5. The Drinking Water Section will document required violation data that they do not report to SDWIS/Fed and assess barriers to full reporting
6. ADEQ succeeded in reducing the number of systems that were formally listed on the July 2014 ETT in meeting their commitment in the SFY14 workplan.
7. A contract with a private lab capable of providing analytical services for all NPDWRs pursuant to primacy requirements of 40 CFR 142.10 has been put in place. ADEQ will need to provide an annual assurance letter to EPA for meeting primacy requirements under 40 CFR 142.10.
8. ADEQ has not held an Operator Certification stakeholder meeting of the 11 member certification committee. EPA encourages ADEQ to report on all opportunities for stakeholders to give input to the program including RWIC meetings and Rural Water Association of Arizona conferences involving ADEQ.
9. The Water System Compliance Initiative will remain a priority focus for SFY 15.

Source Water Protection

The Drinking Water Monitoring and Protection Unit manages Arizona's efforts to prevent contamination of ground and surface sources of drinking water. The Arizona statewide source water *assessment* (a Safe Drinking Water Act requirement) found the most prevalent and threatening contaminant risks to public water systems include: UST/LUSTs, superfund sites, agriculture, septic systems, marinas, and golf courses. Since the SDWA does not require source water *protection*, ADEQ's strategy is to use the assessment results to encourage/inspire public water systems and the communities they serve to formulate and apply protection strategies; ADEQ also provides them with technical assistance to do so. An additional, important component of ADEQ's strategy is education and outreach at schools and other public forums where the program explains the benefits of protection, i.e. prevention cheaper than treatment. They also help inspired/interested communities develop and adopt land use policies such as a wellhead protection ordinance or zoning policy. The Protection Unit works internally within ADEQ to investigate and/or remediate contamination risks. The internal process often leads to external coordination and recommendations for further remediation action by other federal, state, local agencies.

Highlights:

Despite staffing challenges in the last quarter, FY14 was still a productive year for the ADEQ source water protection (SWP) program. The SWP Program achieved both of its EPA PAM FY14 targets: 39% of community water systems (CWS) where risk to public health is minimized by source water protection, and 86% percent of the population served by CWS where risk to public health is minimized by source water protection. Program priorities continue to focus on: Identifying Most Prevalent and Threatening Contaminant Risks; UST/LUST Data Evaluations; Non-Petroleum Data Evaluations; School Outreach; GPS Well Project; and CWS Database Queries. An outreach program for schools that operate their own public water system was launched in February 2008 in association with ADEQ's Children's Environmental Health Initiative and continues to be an effective protection tool.

Follow-up Actions:

Although not a required follow-up action per se, during the EOY call the SWP Program graciously agreed to begin looking for ways to coordinate with ADEQ Clean Water Act (CWA) programs. EPA will help with the initial task of identifying source water protection areas within priority watersheds (e.g., impaired waters targeted for TMDL implementation) as identified by the ADEQ NPS/TMDL programs. In the next year, EPA will also help the SWP Program consider other CWA tools to minimize potential contamination threats to sources of drinking water.

Ground Water Program

Arizona Department of Environmental Quality (ADEQ) does not have an EPA-approved Underground Injection Control (UIC) State permitting program. Therefore, EPA's Drinking Water Protection Section (DWP) works with ADEQ's Aquifer Protection Permit (APP) Program to share information for separate underground injection permitting responsibility to regulate injection activities in Arizona. EPA's DWP communicates and coordinates with the ADEQ's APP Program on injection activities requiring both a federal UIC permit and a state APP usually

with groundwater related issues and common concerns. The permitting application requirements and process of the two programs have similarities and differences. Sharing of information and regular updates allows us to work out inconsistencies and improve our response, where appropriate.

DWP has shared information with APP staff specifically on the permitted Morton Salt facility and the proposed Florence Copper Production Test Facility (PTF). The proposed PTF is under consideration for a federal UIC permit and a highly opposed project by the Florence community. Working with ADEQ has been very successful during this grant period and useful to help meet our goals to protect underground sources of drinking water (USDW) as defined under the Safe Drinking Water Act.

ADEQ also works with Arizona Department of Water Resources (ADWR) to evaluate potential for adverse impacts to groundwater quality from recharge injection wells or recharge basins. Recharge is a means of storing excess water supplies underground so that they may be used in the future. ADWR encourages treated wastewater to be reused in this way to replenish groundwater supplies. Both ADWR and ADEQ's APP program have permitting requirements for injection of treated wastewater used for aquifer recharge and recovery. ADEQ's APP program evaluates these projects and requires an APP, unless exempted, to protect the receiving aquifer from potential contaminants. EPA's DWP receives information from ADEQ on the reviews of these recharge projects to ensure that the injection of treated wastewater meets our UIC requirements for Class V injection wells. The updated information on the latest projects was acceptable.

In addition to coordinating on permitting projects, ADEQ has provided annual updates to EPA of its drywell (Class V injection wells) database for EPA's national UIC database. A person, who owns an existing or proposed drywell in Arizona, must register the drywell with ADEQ. ADEQ's APP Program evaluates these wells to determine the need for a general APP to protect Arizona aquifers that serve as drinking water sources. EPA also requires owners/operators of injection wells (ie, drywells or any other Class V injection well), which are "authorized by rule" pursuant to the Class V UIC requirements, to submit inventory information for the federal database. The drywell update from ADEQ ensures that our UIC database is up-to-date for this type of well. Current ADEQ drywell information had some accuracy issues, but was provided to our database manager in acceptable format.

Follow-up Actions:

1. EPA's DWP will continue quarterly communications and coordination with ADEQ's APP Program on the permitted Morton Salt facility and the proposed Florence Copper PTF. This update has been more frequent (on a monthly basis) with permitting activity related to the proposed Florence Copper PTF.
2. DWP will also continue to obtain updates annually of drywell database registrations and quarterly of new or existing injection activities that may need federal over-sight.

Drinking Water Enforcement

The Compliance Section along with the Southern Regional Office Compliance Program Unit (SROCU) in Tucson is responsible for sanitary surveys, compliance and enforcement and works closely with the Drinking Water Section. Per the FY 2014 OECA ACS Commitment for Drinking Water, the primacy agency must address with a formal enforcement action or return to compliance the number of priority systems equal to the number of its PWS that have a score of 11 or higher on the July 2013 Enforcement Targeting Tool (ETT) report. This system-based approach uses a formula that allows EPA to prioritize public water systems for possible enforcement actions by assigning each violation a weight or number of points based on EPA drinking water regulations and rules. Systems with an ETT score of 11 or higher, with unaddressed violations for more than six months are potential candidates for escalated enforcement actions. A primacy agency's success at addressing violations will be tracked by means of the quarterly ETT reports. While it remains the Enforcement Response Policy's (ERP) goal that a priority system's violations will be returned to compliance, a primacy agency has met its commitment under the 2014 SDWA ACS with respect to a priority system if the score for that system has been brought below, and remains below, eleven. At the beginning of FY 2014, there were 91 facilities with a score of 11 or higher. Maricopa County had 9 public water systems (PWSs) and Pima County had 12 PWSs under their delegation on the list. Overall, 63 PWSs were addressed in FY2014. Ten of these PWSs were addressed by delegated Counties. Specifically, 7 PWSs had a score of 11 or higher but are under ADEQ formal enforcement actions. One facility was an EPA enforcement action. Three facilities had a score of 11 or higher, but there were no outstanding violations in Drinking Water Watch or the violations had been resolved. However, these violations are still open due to data quality issues. During the regularly scheduled monthly conference calls between ADEQ and EPA, we discussed EPA/State workshare (i.e., list of specific systems) for addressing public water systems with a score of 11 or higher. No enforcement cases were referred to EPA by ADEQ in SFY14, nor did EPA conduct any inspections in Arizona at State PWSs. Arizona's progress made on addressing the ETT is shown in Table 1 below.

The state issued a total of 12 administrative orders during FY14. One of the orders included a civil penalty of \$3,000 for Pine Valley Water Company. The Compliance Section closed four administrative orders upon the facilities meeting their compliance schedules. The Utility Field Services Unit issues informal Drinking Water Enforcement Actions including Notices of Opportunity to Correct (NOCs) and/or Notices of Violation (NOVs). The two Field Services units issued a total of 155 informal enforcement notices. These two units closed 163 informal enforcement notices during FY14.

Table 1: Enforcement Targeting Tool (ETT) performance

	Q1	Q2	Q3	Q4
Total # of Sys on ETT >=11	91	110	106	99
Total PWS removed from FY13 ETT	-	32	57	55
Remaining PWS on ETT >=11 from FY14 ETT commitment	-	59	47	35

evans-walker, daria

From: Montgomery, Michael
Sent: Thursday, August 25, 2016 11:36 AM
To: evans-walker, daria
Cc: Li, Corine
Subject: FW: AZ SFY15 Final EOY Report
Attachments: Arizona SFY15 EOY Report_final.pdf

[Here is EOY email transmittal](#)

From: Montgomery, Michael
Sent: Wednesday, February 24, 2016 11:37 AM
To: Trevor Baggione <Baggione.Trevor@azdeq.gov>
Cc: Sablad, Elizabeth <Sablade.Elizabeth@epa.gov>
Subject: FW: AZ SFY15 Final EOY Report

Hi Trevor,

Attached please find our Final FY15 EOY Report. If I already transmitted this then my apologies for the duplication. Some of our staff and managers would like to meet in person in conjunction with the mid-year. The March dates we previously discussed do not work well for this purpose so we would like to propose sometime during the first week of April (4th-8th). We will need 2-3 hours. Please let me know what works best for you all and we will try and work with that. I will have a n update on some of the items we discussed on our last call soon. Thanks
Mike

From: Sablad, Elizabeth
Sent: Thursday, January 07, 2016 8:15 AM
To: Montgomery, Michael <Montgomery.Michael@epa.gov>
Cc: R9-WTR-AZ <R9-WTR-AZ@epa.gov>
Subject: AZ SFY15 Final EOY Report

Hi Mike,

Please forward the attached AZ SFY15 Final EOY Report along to ADEQ. I've incorporated everyone's final edits.

Thanks,
Elizabeth

Elizabeth Sablad
NPDES Permits Office
U.S. EPA Region 9
75 Hawthorne St. (WTR-2-3)
San Francisco, CA 94105
(415) 972-3044
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ADEQ Water Quality Division (WQD) SFY15 EOY Assessment

The following summary reviews ADEQ's performance for SFY15. The evaluation is based on commitments in the workplan, reports/submittals and considered information gathered during ongoing program conference calls.

Administration

Revenue: ADEQ Water Quality Division (WQD), hereafter "ADEQ", lost fiscal/general fund support from the state legislature in 2008 and relies heavily on federal funds to operate. Federal funds (\$10M+) represent more than 50% of ADEQ's operating budget. ADEQ receives approximately \$4.8M annually through several EPA grants to implement water programs, excluding the State Revolving Funds. ADEQ began collecting AZPDES permitting fees in FY11 and is moving forward with operator certification fees and evaluating fees for design review, and a drinking water administrative fee.

WIFA is a separate state agency charged with implementing the Clean Water and Drinking Water State Revolving Funds. Fees are collected by WIFA as part of the loan process. ADEQ uses Drinking Water State Revolving Fund (DWSRF) setasides (\$4.6M) and had used Water Infrastructure Financing Authority (WIFA) fees (up to \$5M) to supplement grant funds. Use of WIFA fees to offset general funds was a concern to EPA as it limited WIFA's ability to meet administrative costs and provide technical assistance to water and wastewater systems. Over the last 6 years, we urged and have worked with ADEQ to reduce and eliminate the transfer of WIFA fees.

Workplan and Grants: The bulk of federal funding is awarded annually through a Performance Partnership Grant (PPG) which combines CWA 106, PWSS and NPS funds. ADEQ also receives a separate monitoring grant and NPS projects grant. ADEQ develops an annual integrated workplan covering all activities and commitments for federally and non-federally funded tasks, and is based on a SFY (July 1- June 30). The draft workplan is reviewed by the relevant program leads and managers (Water and Enforcement), and followed by discussion/negotiations (in some cases, formal meetings). Previous year activities and commitments are considered to determine technical capacity and program successes and priorities. Priority setting amongst core program activities is often the focus of discussions as well as collaboration across programs. The integrated workplan provides a comprehensive look at the work being performed by ADEQ. EPA and ADEQ have implemented several changes over the last few years to improve reporting and accountability, and ADEQ is in the process of converting the integrated workplan into a database format that will improve EPA and ADEQ's ability to track water quality program efforts.

Staffing: The ADEQ WQD has approximately 125 staff and is constantly recruiting to fill priority vacancies.

Rule Making: All agencies in Arizona have been bound by a Governor's rules moratorium since 2009. The Governor may grant an exception if the regulatory change lessens or eases a regulatory burden. This has hindered implementation, but recently, ADEQ has sought exceptions

to the moratorium for minor water quality standard changes, an amendment to the biosolids program under the NPDES program delegation, and the drinking water total coliform rule.

EPA Oversight: EPA and ADEQ's partnership is formalized in the Arizona Accord. The Accord is an agreement describing our relationships and joint efforts to protect human health and the environment. This supplements MOAs associated with program approval and delegation. EPA program leads hold regular calls with ADEQ program counterparts as well as official midyear and end-of-year reviews. EPA Water Division and EPA Enforcement Division work together to oversee program implementation.

The workplan defines outputs and reporting. Review of outputs is by the program. Separate accountability tools are used as well to assess progress, e.g. monthly ICIS reports on permit issuance, or routine program calls. With multiple funding sources, the various grant projects officers also coordinate efforts. Although the annual SRF grant is awarded to WIFA, the SRF PO coordinates with the ADEQ PPG PO and program leads to ensure effective accountability.

Clean Water Act

Ambient and 106 Monitoring

The Monitoring Unit is responsible for collecting water quality data for Arizona's streams, lakes, and groundwater. Water quality monitoring is intended to characterize baseline water quality conditions, support the 303(d) and 305(b) assessment process, evaluate compliance with water quality standards (WQS) and provide data to support the development of new and revised WQS and TMDLs. ADEQ uses a probabilistic monitoring design and covers the state in a 5-year cycle by monitoring in either the warm water (below 5000 feet) or cold water (above 5000 feet) sites each year.

In SFY15, ADEQ met or exceeded almost all of their ambient and 106 monitoring commitments. ADEQ completed 98% of their ambient stream sampling targets, 100% for fish, 145% for lakes, and 182% for groundwater. Consistent with EPA's request, SFY15 sampling focused on warmwater sites, and samples were taken from three streams which ADEQ had never sampled before. Document deliverables were sent to EPA on or before target dates, including the FY15 sampling assurance plan, FY16 ambient monitoring plan, groundwater basin reports for Avra Valley and Gila Bend, and a revised quality assurance plan based on EPA comments. Chlorophyll a and periphyton were sampled in 27 rivers and streams, with total nitrogen and total phosphorus collected quarterly at all sites, to support development of the narrative nutrient standard for streams. A recreational monitoring program was further developed by meeting with county health departments, identifying highly recreated areas, and developing policies and procedures to address unsanitary beach conditions. Intermittent stream monitoring was slowed by delays in hiring and solar panel procurement, but random site selection was completed, and sensors were bought and deployed in a pilot test.

In SFY16, EPA looks forward to continuation of the ambient monitoring program, and targeted projects including continued nutrient monitoring for rivers and streams, further development of the recreational monitoring program, full deployment of the intermittent stream study, development of a strategy for monitoring to support the 50% waterbody improvement performance measure, and site selection for the National Wetland Condition Assessment.

Water Quality Standards

The Surface Water Section (SWS) is responsible for water quality standards (WQS) and policy development. ADEQ water quality standards (WQS) deliverables are impacted by an executive order rules moratorium that prohibits state agency rulemaking, unless the governor's office consents based on a justification such as reducing regulatory burden. ADEQ held a triennial review stakeholder meeting in September 2014, and requested a moratorium exemption in February 2015, which was granted by September 2015, but limited revisions to, "...amend errors or clarify language from the 2009 rules changes." After this delay, the proposed revisions, with some changes, were then public noticed on September 18, 2015 and the rulemaking is now targeted for December 2015 in the SFY16 Workplan. ADEQ's WQS work is also affected by the lack of a single WQS point of contact since the standards unit manager retired and her staff were absorbed into the Ambient Monitoring Group.

Finalization of ADEQ's Antidegradation Implementation Procedures was rescheduled from SFY14. Although the SFY15 final output report states that the procedures were finalized, ADEQ staff report that the document was not yet finalized with the directors signature. They did note that the 2008 draft is generally similar to the 2015 draft, and provided the current version of the unsigned document. ADEQ also did not meet the commitment to finalize the Lake Narrative Nutrient Standards by June 2015, citing that additional information is still needed from their contractor. ADEQ did complete one surface water program development output by holding a meeting with Department of Health Services and Arizona Game and Fish to determine the public process when issuing fish consumption advisories.

In SFY16, EPA looks forward to more timely progress in the water quality standards program, particularly Arizona's finalization of their 2014 triennial review. Additionally, EPA will confirm the finalization of and review ADEQ's Antidegradation Implementation Procedures; and provide support and review of ADEQ's narrative lake nutrient criteria and implementation documents.

Water Quality Assessment and Total Maximum Daily Load (TMDL) Development

The TMDL and Assessment Unit is responsible for assessing statewide water quality data and developing the Arizona 303(d) list of impaired waters and 305(b) integrated report (IR). In SFY15, ADEQ progressed in developing and finalizing their 305(b) Integrated Reports and 303(d) Lists (hereafter, "report/list"). ADEQ committed to finalization of the 2012-2014 report/list, identification of candidate waters for SP-12 or W-10 measures, and initiation of the 2016 report/list. The 2012-2014 report/list targets were met, with 1-2 month delays, and approved by EPA in August 2015. Identification of candidate waters was completed within the target month, but the submittal of success stories wasn't concluded by the end of the fiscal year due to additional comments received. The 2016 report/list is being addressed on an ongoing basis, with smaller batches of data being uploaded more often to prevent a backlog and keep the project on pace.

ADEQ's TMDL commitments are evaluated with semi-annual status table updates, and include submitting TMDL reports to EPA for final approval, completing first public notice for TMDLs, continuing data collection and analysis for TMDLs, monitoring remedial activities on Measure

W waterbodies, tracking Measure 5 waters performance, coordinating with NRCS on NWQI effectiveness monitoring, completing TMDL implementation plans, and determining status of Phoenix Area Urban Lake Management Plans. Outputs were delayed for various reasons, particularly the workload created by the Watson Lake TMDL appeal.

In SFY16, EPA looks forward to further development of the integrated report and list of impaired waters. EPA also looks forward to completion of the traditional TMDLs worked on in SFY15 (Queen Creek, Pinto Creek, Middle Gila), along with continued data collection and analysis (Mule Gulch). Lastly, EPA looks forward to further integration of watershed plan, TMDL development, and nonpoint source program planning activities, such as the completion of Water Quality Improvement Plans including WIP and TMDL elements, TMDLs/alternative plans/data summaries.

NPDES Permitting

The principal task of the two permitting units is timely issuance of new and reissued permits to facilities subject to the CWA.

Highlights:

In SFY15, ADEQ continued to issue good quality permits in a timely manner, trying hard to meet the national performance target of 90% current. Over the last couple of years, ADEQ has been successfully reducing the time needed to reissue permits. In SFY15, even though there were more permits to reissue, they were able to reduce the time to reissue a permit by 35%. Their initial calculated time to complete reissuance of a permit was 427 days and their goal is to be able to reissue a permit within 213 days.

ADEQ reported in their SFY15 output report that 95% of permits are current; however, as in SFY14, it was difficult to confirm this result because the permit status information in ICIS is still not up-to-date. EPA estimated ~82% current based on permit status data provided by ADEQ and ICIS, which has slipped from the 89% current calculated in SFY14. According to the SFY15 output report, ADEQ reissued 26 individual permits and denied 1 permit.

A major accomplishment of the Stormwater & General Permits Unit was final issuance of the ADOT MS4. ADEQ also reviewed and responded to a total of 40 of the 49 combined MS4 Phase I and Phase II annual reports, conducted MS4 training for Phase I and Phase II stakeholders, and through its contractor, completed 8 Phase II MS4 audits, meeting the SFY15 workplan target.

Additionally, both permit units (the Water Quality AZPDES Individual Permits Unit and Water Quality Stormwater & General Permits Unit) successfully coordinated with the Watershed Protection Unit to ensure TMDLs were written to ensure effective implementation in permits, so that water quality improvement can be realized.

Concerns:

ICIS Permit Status Information - As in SFY14 and indicated above, the ICIS database is still out of date regarding permit status information. In addition, most of the general permits are not listed in the database. During our EOY discussion, ADEQ committed to addressing these

inconsistencies and have already begun addressing some major/minor classification discrepancies. EPA encourages ADEQ to update this information so that ADEQ can receive national credit for their accomplishments.

Phase II MS4 General Permit - The permit expired in 2007, and ADEQ explained in the SFY14 end of year meeting that they were waiting until the 2010 Census to bring in more permittees; however, the planned issuance of this permit was listed in the SFY12, SFY13, SFY14, and SFY15 workplans. ADEQ committed to issuing the Phase II MS4 general permit in SFY15, but has been fiercely challenged by permittees. In order to address permittee concerns, ADEQ will be holding another stakeholder meeting, issuing another public notice with a possible hearing, and plan to issue the final permit in February 2016. This will likely impact the schedule for reissuance of the Multi-sector general permit (MSGP), which is included in the SFY16 workplan.

Phase II MS4 Audit Findings - The results of the 8 MS4 audits conducted in SFY15 supported the previous year's findings that many smaller MS4 Phase II programs demonstrate widespread non-compliance with current permit obligations.

Looking forward, the priorities for the SFY16 include addressing the above concerns, reissuance of the De Minimis general permit and the MSGP, seeking approval under the NPDES delegation for a change to the biosolids program, and streamlining the variance approval process. For Phase II MS4 non-compliance identified in SFY15, AZDEQ will evaluate audit results, annual reports and demonstrated efforts by Phase II permittees. Compliance orders will be considered for those who continue to neglect permit requirements.

Non Point Source (NPS) Program and Project (CWA 319) Management

The Watersheds Protection Unit in the Surface Water Section has the majority of the Nonpoint Source Program (NPS) under its scope, whereas, other parts of ADEQ's Water Division uses some of the funds to staff NPS related work. The Program is comprised of program implementation and project oversight. Program implementation is based on a State Management Plan (SMP) which establishes goals, objectives, activities, and milestones to accomplish the goals. Accomplishments are detailed in an Annual Nonpoint Source Program Report and an end of year integrated Water Division report. Project oversight includes the solicitation for project proposals, awarding projects, and oversight of projects to improve water quality.

The Watersheds Protection Unit continues to lead the way amongst Region 9 states on working with partners and program integration. The agreements and MOU's in place to leverage and align federal and state resources is tremendous. EPA anticipates that ADEQ will show significant results in the next two to three years on meeting its performance measure of "showing improvement in 50% of the states monitored waters."

State fiscal year 2015 was the first year of implementing the NPS Management Plan. This year EPA was pleased to have the Watersheds Unit supervisor come to EPA and present FY15 accomplishments. The information exchange and networking opportunities which occurred were well worth the travel investment by ADEQ. EPA observed during the end of year review that the benchmarks for meeting the 4 Goals laid out in the Plan are in the range of 72%-94% on target.

Missed targets in the Plan are understood to be behind and are within reason for delay. ADEQ has demonstrated a commitment to get on track. Furthermore, EPA would like to work with ADEQ on completing the EPA Performance Measure reporting for SP-12 and WQ-10.

ADEQ has a well thought out plan for tracking ADEQ's performance measure in place: 1) Waterbody is removed from 303(d) list, 2) Order of magnitude decrease in pollutant concentrations, or 3) Increase in Water Quality Index Score (WQI). The WQI is intriguing and EPA looks forward to learning more about this. EPA also anticipates reviewing the protection criteria as it will help unlisted waters that should need immediate restoration work.

At the end of year meeting, EPA/ADEQ identified 5 action items:

1. To use and share ADEQ's MOU's and coordination techniques with federal agencies to our other states.
2. ADEQ should consider direct and groundwater intakes in prioritization for source water protection and as it relates to the developing protection criteria.
3. EPA and ADEQ will work on streamlining reporting requirements for performance measures.
4. ADEQ will host a presentation on the Water Quality Index.
5. ADEQ's cooperative agreement with NRCS is exceptional and will be used as an example for other states.

All in all, the Watersheds Protection Unit continues to strive to meet its performance measure, checking that the goals are being worked towards, and that the supporting milestones are completed. EPA looks forward to more great work from ADEQ as it moves towards showing improvement in water quality in Arizona.

Wetlands and 401

EPA reviewed the SFY15 Final Output EPA regarding 401 CWA actions. There is one Task 1.3.2: CWA 401 Certification Review of Federal Permits and Licenses. The deliverables require a table of the 401 certifications processed including the type of permit, project name, action and date of action. ADEQ complied with Task 1.3.2 and provided a table of 401 actions.

In order to improve interagency coordination and collaboration, a new condition was added to the SFY16 grant requiring ADEQ to contact EPA prior to 401 certification on projects where EPA has identified water quality concerns through written or phone correspondence to ADEQ.

Border

ADEQ operates and maintains an Office of Border Environmental Programs (OBEP) located in Tucson, AZ. They are responsible for border region and transboundary issues for all media activities along the US-Mexico Border Region.

ADEQ has provided EPA and other stakeholder timely reports on fugitive wastewater flows into Arizona from Nogales, SON, and updates on exceedances of allowable loadings for metals and other contaminants that can affect the operational efficiency of the Nogales International

WWTP. OBEP has also been a strong advocate for the need to implement pretreatment programs in Nogales, SON that are needed to protect WWTP operations.

In SFY15, EPA noted the impact of the lack of engineering support for wastewater and drinking water projects in Arizona, following the departure from ADEQ of the border engineer in the previous fiscal year. The ADEQ border engineer coordinated internally within ADEQ to ensure that design, permitting and compliance requirements and concerns were considered in project deliverables and discussions. In addition, as designs for WWTP upgrade projects in Willcox and Douglas have proceeded, there has been a lack of ADEQ expertise during critical stages of design review that has benefitted projects in the past. EPA also notes that with ADEQ's reduced presence at project meetings, ADEQ has not been able to maintain the same level of fruitful and mutually beneficial relationships with small border communities that it did in the past.

CWA Enforcement and Compliance

Inspections: The Water Quality Compliance Section (WQCS) and the Southern Regional Office Compliance Program Unit (SROCU) are responsible for all field work for the Division. ADEQ set a target of inspecting 50% of the major AZPDES permitted facilities (35 of 71) and 20% of the minor facilities (18 of 89) in SFY15. EPA's 2014 Compliance Monitoring Strategy (CMS) requires the inspection of majors once every two years (50%) and all minors inspected once in a 5 year cycle (20%). ADEQ inspected 46 major facilities and 27 minor facilities, thus exceeding the CMS goals for both major and minor facilities. Additionally, ADEQ and SROCU responded to 22 citizen complaints related to the Clean Water Act, resulting in 18 non-routine inspections. ADEQ still intends to pursue a risk-based ACMS (subject to compliance with EPA's 2014 CMS) in response to the AZ Auditor General's Report citing non-compliance by minors.

ADEQ exceeded its stormwater inspection targets again this year of 50 industrial and 50 construction (30 Phase 1 and 20 Phase 2) inspections in SFY15 by conducting 51 industrial, 62 Phase 1, and 49 Phase 2 construction inspections. Although EPA's CMS sets goals of 10% of all industrial facilities and 5-10% CMS goals for construction facilities, EPA has agreed to lower commitments given the resource limitations at ADEQ. The CMS goals for the stormwater programs also include audits of MS4s. See the NPDES Permitting Section of this report for a discussion of SFY15 progress in the MS4 program.

AZ has 100 CAFOs statewide covered by AZ APP permits and 2 subject to AZPDES permits. ADEQ exceeded its SFY15 target of 1 CAFO inspection by conducting 2 CAFO inspections of its permitted and unpermitted facilities. ADEQ exceeded its SFY15 inspection targets for the biosolids program (5 POTWs and 6 land application facilities) with 5 POTWs and 8 land application facilities. ADEQ also exceeded its target of 28 annual report reviews submitted under the biosolids rule by conducting 38 reviews.

Pretreatment Program: Arizona has delegated authority to implement the federal pretreatment regulations. Core regulatory duties are as follows:

- 1) Review all annual and semi-annual reports submitted by POTWs with approved pretreatment programs.
- 2) Conduct pretreatment compliance audits (at least once every five years for each approved POTW pretreatment program).

- 3) Conduct pretreatment compliance inspections (at least twice every five years for each approved POTW pretreatment program).
- 4) Perform annual inspections of POTWs with SIU-oversight-only pretreatment programs (at least once every five years for each program).
- 5) Review and approve pretreatment program submittals and modifications.

Additionally, there is a specific PPG target for ADEQ to support pretreatment work in the Ambos Nogales border region, as industrial wastewater from Mexico has caused or contributed to NPDES permit violations at the Nogales International Wastewater Treatment Plant (NIWTP). During SFY15, ADEQ continued to work with wastewater representatives in Nogales, Arizona, and Nogales, Sonora, to support implementation of the new pretreatment conditions in the NPDES permit issued to the NIWTP.

During SFY15, Arizona met all of their pretreatment targets. Specifically, ADEQ met its inspection targets (8 compliance inspections and 5 POTW SIU-oversight only inspections), auditing targets (4 pretreatment audits of approved pretreatment programs), and report review targets (20 annual/semi-annual reports).

In SFY16, EPA looks forward to ADEQ's continued progress in pretreatment commensurate with its target numbers. ADEQ is evaluating ways to increase efficiency in its programs, including in pretreatment inspections and audits, and EPA looks forward to continuing the conversation with ADEQ about how pretreatment oversight responsibilities might be streamlined or targeted to maximize resources while continuing to meet state and federal goals.

Data Management and Reporting: Just as in SFY13 and SFY14, ADEQ did not meet its commitment to enter discharge monitoring reports and state inspection and enforcement actions into EPA's ICIS-NPDES national database in SFY15. Due to data programming issues, ADEQ stopped flowing NPDES data into ICIS as of mid-November 2012. In the interim, ADEQ continued to enter permit and monitoring information into its state databases.

Without NPDES data in ICIS, EPA's view of discharger compliance data and state activities is severely limited. In particular, EPA cannot generate the QNCR history of major facilities in Significant Non Compliance (SNC). As a stop-gap measure, ADEQ did generate a QNVR of majors from its Azurite database. However, without the ICIS QNCR, compiling a list of SNCs would require significant resource-intensive manual efforts, which neither ADEQ nor EPA could provide. ADEQ did submit its quarterly compliance reviews and reports to EPA on time.

Enforcement: In SFY15, ADEQ issued 5 Administrative Orders, closed 6 Administrative Orders, issued 44 Notices of Opportunity to Correct (NOCs) and Notices of Violation (NOVs) and closed 37 NOCs and NOVs. ADEQ continues to use informal enforcement tools and anticipates new processes established by the LEAN exercise will improve overall compliance efforts.

Major facilities are flagged as being in SNC if they have acute or chronic effluent limit violations that exceed EPA's criteria for magnitude and duration. Facilities may also be flagged as SNC for late submittal of discharge monitoring reports. Given ADEQ's data management issues discussed

above, neither ADEQ nor EPA could generate a list of SNC violations during SFY15. Flagging SNC violations is an important tool for targeting enforcement to the highest priority violations. State enforcement response to SNC violations is a critical measure that EPA uses in our oversight of State NPDES enforcement programs

Concerns:

ADEQ has an on-going data management and reporting issue that once again affected EPA's ability to oversee the SFY15 Work Plan progress. ADEQ's inability to flow data into ICIS from mid-November 2012 has significantly impacted EPA's ability to monitor and evaluate ADEQ's Surface Water Compliance and Enforcement program as detailed in Task 1.4.3 of the integrated SFY15 Work Plan. The requirement for NPDES permit, compliance monitoring data and enforcement data entry is required as part of the program approval and described in the MOA. ADEQ has been aware of the need for updated data transfer protocols since 2009 and has been working on it intermittently since then. Since February 2013, EPA HQs has provided contract help to ADEQ with virtually unlimited expert technical assistance, which ADEQ's IT Department has used in their efforts to program systems for flowing NPDES data to EPA's ICIS database. Despite this available assistance, project completion deadlines established by the IT Department have not been realistic, as evidenced by extended project completion dates with almost every bi-weekly status report. The initial project completion date of June 30, 2013 was last officially extended by ADEQ to January 17, 2014 with no actual completion by that date, despite being reportedly 95% complete since the week of August 9, 2013.

Additionally, EPA's ability to conduct the AZ State Review Framework, an enforcement-led multi-media evaluation of compliance using FFY13 data, was severely impacted. ADEQ missed the February 19, 2014 data "freeze" HQs deadline; the data was finally manually "frozen" on June 16, 2014, but it proved to be unreliable with many errors. During the SRF site visit the week of July 7, 2014, problems with the data, such as the number of facilities actually in SNC, remained.

Given the above chronology, EPA could not effectively oversee the SFY13-15 Work Plan progress. As a result of this chronic lack of substantial progress, two programmatic grant conditions regarding data management and reporting were included in the SFY16 Work Plan:

P8. Arizona will complete all upgrades and successful installation of the Nodes to start the flow of data from Azurite to ICIS Production by **September 30, 2015**. Arizona will provide EPA with written notification upon completion.

P9. Arizona will flow accurate and complete data from Azurite to ICIS Production by **October 31, 2015**. At least 95% of permit limits and DMR data for major facilities shall be entered. Arizona will use standardized or Ad-Hoc ICIS reports to verify the completeness of this data starting November 1, 2012 onwards. Arizona shall generate and provide to EPA electronic copies of these reports by October 31, 2015 and upon request.

If ADEQ does not meet these completion dates, EPA has the option to withhold or delay payment as authorized under 40 CFR 31.43. As of the SFY15 EOY discussions (September 17 and 18, 2015), ADEQ expects to meet both grant condition deadlines, thus enabling EPA to once

again use ICIS data to monitor and evaluate ADEQ's Surface Water Compliance and Enforcement program as detailed in Task 1.4.3 of the integrated SFY16 Work Plan.

Safe Drinking Water Act

EPA Region 9's Drinking Water Management Section (EPA) conducted the annual end of year program evaluation of the Arizona Public Water System Supervision (PWSS) Program on September 9, 2015. This program evaluation covers ADEQ Water Quality Division (WQD) Drinking Water (DW) and Compliance Sections' activities for State Fiscal Year 2015 (SFY15), July 1, 2014 through June 30, 2015, funded in part by SDWA Section 1443(a) Grants to States and Section 1452(g) State Revolving Loan Funds. The FY15 allotment to the Arizona PWSS program of \$1.432M was reduced by \$10,000 for the recession of FY15 federal funds. A number of state sources also fund the ADEQ DW Section's work, including: Vehicle Emission Inventory, Water Quality Fee Fund (WQFF), Monitoring Assistance Program (MAP) fee fund and the 10% set-aside of the Drinking Water State Revolving Fund. (DW-SRF). ADEQ uses \$1.7 M from the Vehicle Emission Inventory to fund the work under the PWSS program. ADEQ must request this funding from the State Legislature every year. ADEQ continues to develop new fee programs including fees for Operator Certification.

ADEQ DW Section had no major organizational changes in SFY15. The DW Monitoring & Protection Unit continues to have at least two vacant rule specialist positions. The DW Programs Unit is actively looking to increase support to the Capacity Development and Operator Certification programs by filling 2 vacancies. The Compliance Section re-organized and reduced the number of Field Service Units from two to one, compiling the 10 vacancies into a single unit. The Unit supervisor has drinking water and wastewater inspectors for municipal and private systems. Not all vacancies will be justified and/or filled.

Rule Development

The DW Section committed to submitting a complete primacy revisions crosswalk in their FY2013 workplan for all the analytical requirements of 40 CFR 141 and 142. The DW Section's work with ADHS on this effort was curtailed last fiscal year due to the lack of Section manager. As a result, the DW Section completed no work on the incremental primacy crosswalks for Public Water System (PWS) Definition, Arsenic and Radionuclides. Instead, DW Section has focused on revised Total Coliform Rule (RTCR) development. The DW Section will continue to complete the incremental primacy crosswalks for Stage 1 and Stage 2 Disinfection Byproduct rules originally due to EPA in FY14.

Data Management

Current system: The DW Section currently uses SDWIS/State Version 3.22 and FedRep 3.4 and reports conducting compliance determination using SDWIS/State modules for all rules except the Surface Water Treatment and Public Notification rules. This should help ensure accurate compliance determinations and consistent violation posting. However, SDWIS/State version 3.3 and FedRep version 3.5, required for RTCR implementation, have been released for use with both Test and Production datasets and with a variable RTCR implementation date setting. This means that the DW Section could install these updated versions now for use when

they are ready to begin testing and training on RTCR data management functionality in advance of the 4/1/2016 compliance date.

System upgrades: The DW Section reports planning to use the new Compliance Monitoring Data Portal (CMDP), which is scheduled to be available for user testing in early 2016 and for full deployment in late 2016. EPA OGWDW has postponed SDWIS/Prime development in favor of CMDP development, and the DW Section reports planning to delay transition to SDWIS/Prime until it proves fully capable and all add-on applications are functional. However, the DW Section could begin basic transition planning (assigning a project team and lead, reviewing the transition plan template, developing a data migration plan, etc.). ADEQ reports lacking resources to participate in SDWIS Prime development workgroups led by EPA, although ADEQ's participation could help ensure that SDWIS/Prime meets ADEQ's requirements.

Upload data quality status: The DW Section has achieved a low error rate for quarterly inventory and actions data uploads to SDWIS/Fed and has had no data errors for samples uploads for several years. For inventory, the DW Section reports prioritizing correction of treatment data ID and treatment plants without treatments. Such facility flow errors are now low, although numbers are somewhat variable. ADEQ has few of the locational data and active-but-unreported facility errors common in other state programs. For actions, the DW Section has reduced historically high duplicate violation errors to near minimal levels.

Persistent data quality issues: The DW Section reports prioritizing data quality issues including the number of open-ended violations older than five years, which are mostly CCR and LCR violations; these numbers have dropped from 361 last year to 108, which is great progress but leaves a bit more to accomplish. The DW Section also reportedly reviews water systems serving over 3300 population that have not had 90th percentile lead levels reported to SDWIS/Fed in the last three years, to determine if the missing data results from non-compliance, data entry issues, or problems with reporting the data to EPA. For the now-ended 2012-2014 sampling period, 15% of Arizona PWSs do show no 90th percentile lead sampling, while the number is 19% for the 2013-2015 sampling period currently nearing its end. The DW Section has previously committed to documenting required violation data not reported to SDWIS/Fed and assessing barriers to full reporting; EPA Region 9 has not seen the resulting documentation.

OGWDW measures: According to the OGWDW Data Quality Matrix available from the SDWIS Reporting Services function in CDX, ADEQ has a very high .9994 score on geocoordinate data reporting and a perfect score on two other inventory data measures and a similar .9994 score on violations deleted after submittal to SDWIS/Fed. On timeliness of violation reporting, ADEQ's almost 12% issue rate brings the overall Matrix score down to .9803, leaving some room for improvement. On the OGWDW Sanitary Survey completion measure, ADEQ has a 97% score. In sum, these measures and the others mentioned previously indicate good data quality overall.

Rule Implementation

EPA is concerned about the resource challenges the DW Section has faced in the last half of FY15. The DW Section has not had a rule specialist to support proper data entry or compliance determinations, and they report that they are not able to make compliance determinations in a

timely manner for the Synthetic and Volatile Organic compounds (SOCs and VOCs) under the Phase II/V chemical contaminants rule, Radionuclides Rule, Stage 2 Disinfection Byproducts Rule or the Stage 1 Disinfection Byproducts Rule. EPA found twenty three PWSs to be out of compliance with the Arsenic rule. ADEQ confirmed eleven PWSs remain out of compliance with no formal enforcement action to put the systems on the path to compliance. EPA notes that all these systems have had compliance issues since 2007 after the new MCL took effect.

ADEQ has extended the county delegation agreements for Maricopa and Pima counties through year 2050. The counties perform on-site inspections/sanitary surveys and address compliance with formal enforcement actions on systems for which ADEQ delegates authority. ADEQ in partnership with the counties completes sanitary surveys to meet National Program measure SDW-1(a) for sanitary surveys. The state has completed 97% of the required number of sanitary surveys for FY15 to meet National Program measure SDW-1(a) for sanitary surveys performed at a community water system every three years. ADEQ's Compliance Section has reduced the "total" number of priority systems on the ETT over the course of the year. The Compliance Section has not been able to address all the systems that were priority systems on the July 2014 ETT to meet their deliverable in the SFY15 workplan. The SFY15 Enforcement Targeting Tool (ETT) performance is shown in the table below.

SFY15 Enforcement Targeting Tool (ETT) performance

	Q1	Q2	Q3	Q4
Total # of Sys on ETT >=11	96	61	51	43
Total PWS removed from ETT in SFY15	-	46	56	59
Remaining PWS on ETT >=11 from SFY15 ETT commitment	96	50	32	25

Outreach, Training and Emergency Response

ADEQ continues to provide rules training events throughout the state. In FY16 they are expanding their workshop to target an audience with operators and managers. They are focused training on operator certification preparation along with the drinking water regulations. ADEQ will be focused on implementing the RTCR. Systems will be reaching out to ADEQ for more clarity and would benefit having an individual to contact directly. ADEQ WQD staff provides compliance assistance to systems with little support from third party technical assistance (TA) providers. EPA encourages ADEQ to use external resources including those TA providers for which the EPA TA grant allows states to set priorities.

ADEQ has not invested in Security and Emergency Response training events since the elimination of separate federal grant funding for water security activities in FY2012. Operators across the state depend on EPA, FEMA and the Maricopa County Waterborne Disease Taskforce sponsored training for emergency response preparedness activities. ADEQ will continue to rely on AZ Water/Wastewater Agency Response Network (WARN) and other utility based networks to respond to large wild fires and other emergency events.

Laboratory Certification and Quality Assurance (QA)

TestAmerica Laboratories Inc. has replaced Arizona Department of Health Services (ADHS) as the principle state laboratory through a contractual agreement valid until 2019. ADHS remains the laboratory certification agency for drinking water labs within the state of Arizona. EPA Region 9's QA office is planning to create a template document for help states update their QAPrPs. ADEQ does not have changes to the Drinking Water Quality Assurance Program Plan (QAPrP) planned for in future workplans.

New and Existing System Capacity Development

The Capacity Development program has not changed significantly since ADEQ first developed it in 1999. Through their partnership with the Arizona Water Infrastructure Finance Authority (WIFA), ADEQ provides Operational Technical assistance to systems. As a partner in the Rural Water Infrastructure Committee, ADEQ reviews potential TA funding resources with federal, state and third party TA providers. Through System Evaluations, ADEQ is supporting systems to come into compliance or develop more sustainable operation practices that maintain compliance with the SDWA. The number of system evaluations, the outputs of the existing system capacity development program, have steadily declined over the years. The DW Section is actively working with their WQD director's office on development of a Small Water System Compliance strategy which may results in changes to the state capacity development strategy and increase outputs of this program.

Findings and Recommendations:

1. The Drinking Water Section needs to complete the primacy revision packages for Revised Total Coliform Rule, Stage 1 D/DBPR, Stage 2 D/DBPR, and Primacy crosswalk of ADHS sections of Arizona Administrative Code.
2. Small water System Compliance strategy is a priority for SFY 16. EPA would like this strategy to have at a minimum a targeted number or a list of individual systems it will bring into compliance and milestone dates will show how the strategy is being implemented.
3. Compliance determinations should be made in a timely manner for SOCs and VOCs under the Phase II/V rule, Radionuclides Rule, Stage 2 Disinfection Byproducts Rule or the Stage 1 Disinfection Byproducts Rule. The DW Section should find a way to justify a rule specialist position to support proper data entry and compliance determinations.

Source Water Protection

The Drinking Water Monitoring and Protection Unit manages Arizona's efforts to prevent contamination of ground and surface sources of drinking water.

Highlights:

FY15 was another productive year for the ADEQ Source Water Protection (SWP) Program. The Program achieved both of its EPA PAM FY15 targets: (1) number and percentage of community water systems (CWS) where risk to public health is minimized by source water protection and (2) number and percentage of population served by those CWSs. Program priorities continue to focus on: Identifying Most Prevalent and Threatening Contaminant Risks; UST/LUST Data Evaluations; Non-Petroleum Data Evaluations; School Outreach; GPS Well Project; and CWS

Database Queries. ADEQ maintains its commitment to prioritizing source water protection for schools. Not only are these small public water systems high-risk systems, they are also facing severe resource issues. ADEQ believes the best way to protect children and the public at large is to identify and prevent issues before they become public health problems. This program for ADEQ has been so successful that it was showcased to Jared Blumenfeld, Regional Administrator for US EPA Region IX in February. The local White Mountain Independent paper ran a story on the RA's visit to the school highlighting the need to protect drinking water wells.

Concerns:

There are no concerns, but EPA has asked ADEQ to coordinate with ADEQ CWA programs to protect sources of drinking water.

Follow-up Actions:

The Program began coordinating with the ADEQ NPS Program to locate community water systems in priority watersheds. The Program also included coordination with CWA programs in their FY16 work plan. EPA will continue to help the Program consider other CWA tools to minimize potential contamination threats to sources of drinking water.

Ground Water Program

ADEQ does not have an EPA-approved Underground Injection Control (UIC) State permitting program. ADEQ's Aquifer Protection Permit (APP) program shares information with EPA's UIC program on UIC regulated sites that are also subject to state APP permitting. Sharing of information and regular updates allows EPA to improve on the Federal oversight and our permitting process, where appropriate.

ADEQ has shared information with us specifically on the permitted Morton Salt facility and the proposed Florence Copper Production Test Facility (PTF). The proposed PTF is under consideration for both a federal UIC permit and an APP. Due to less frequent activity on these projects over the past year, there has been a slow down on information sharing between our two agencies on these projects. During our EOY discussion, we agreed on the need for more communication between our programs as we expect more permitting activity on these proposed projects. See the follow up action below.

ADEQ also works with Arizona Department of Water Resources (ADWR) to evaluate potential for adverse impacts to groundwater quality from recharge injection wells or recharge basins. Recharge is a means of storing excess water supplies underground so that they may be used in the future. ADWR encourages treated wastewater to be reused in this way to replenish groundwater supplies. Both ADWR and ADEQ's APP program have permitting requirements for injection of treated wastewater used for aquifer recharge and recovery. ADEQ's APP program evaluates these projects and requires an APP, unless exempted, to protect the receiving aquifer from potential contaminants. EPA's UIC receives information from ADEQ on the reviews of these recharge projects to ensure that the injection of treated wastewater meets our UIC requirements for Class V injection wells. The updated information on the latest projects was acceptable.

In addition to coordinating on permitting projects, ADEQ has provided annual updates to EPA of its drywell (Class V injection wells) database for EPA's national UIC database. A person, who owns an existing or proposed drywell in Arizona, must register the drywell with ADEQ. ADEQ's APP Program evaluates these wells to determine the need for a general APP to protect Arizona aquifers that serve as drinking water sources. EPA also requires owners/operators of injection wells (ie, drywells or any other Class V injection well), which are "authorized by rule" pursuant to the Class V UIC requirements, to submit inventory information for the federal database. The drywell update from ADEQ ensures that our UIC database is up-to-date for this type of well. ADEQ drywell information was provided to our database manager in an acceptable format.

Follow-up Actions:

EPA's UIC and ADEQ's APP programs agreed to arrange a quarterly conference call for more frequent updates on our common projects. Updates may also occur monthly, when needed.

Drinking Water Enforcement

The Compliance Section along with the Southern Regional Office Compliance Program Unit (SROCU) in Tucson is responsible for sanitary surveys, compliance and enforcement and works closely with the Drinking Water Section.

The FY 2015 OECA Annual Commitment System (ACS) commitment for drinking water requires that states address the number of priority systems equal to the number of its Public Water Systems (PWSs) that have a score of 11 or higher on the July 2014 Enforcement Targeting Tool (ETT) report by issuing a formal enforcement action or verifying return to compliance. Systems with an ETT score of 11 or higher, with unaddressed violations for more than six months are potential candidates for escalated enforcement actions. ADEQ's success at addressing violations is tracked by means of the quarterly ETT reports. At the beginning of FY 2015, there were 96 facilities with a score of 11 or higher. ADEQ addressed 71 PWSs in this group (with an ETT score of 11 or higher) by the end of FY 2015.

ADEQ issued 113 informal enforcement actions (Notices of Opportunity to Correct [NOCs] and/or Notices of Violations [NOVs]) to PWSs to address non-compliance issues. ADEQ closed 117 NOCs/NOVs that were issued previously. ADEQ also issued nine administrative orders, including for PWSs with arsenic MCL violations. Two civil complaints (i.e., referred to State AG) were issued to PWSs that violated compliance schedules in previously issued administrative orders. Finally, seven administrative orders were closed when the water systems returned to compliance.

ADEQ conducted and completed sanitary surveys on 4 surface water systems, 60 groundwater (community systems), 73 groundwater (non-community systems), and 14 outstanding water systems. (Note, outstanding water systems are those systems (groundwater sources) with no significant deficiencies identified, as well as no major violations, after their routine water system survey, and thus their survey frequency has been reduced from every 3 years to every 5 years).

During the week of September 26, 2015, EPA Region 9 Drinking Water Enforcement Officers (Hillary Hecht and Patrick Chan) conducted an enforcement data verification audit of ADEQ and

Maricopa County's drinking water programs. EPA reviewed facility files for 11 public water systems to help determine how PWSs were reporting compliance information and how ADEQ determines and tracks possible violations. EPA expects to complete the audit report by December 2015.